


2019

# The Image of Adventure in Literature, Media, and Society: 2019 SASSI Conference Proceedings

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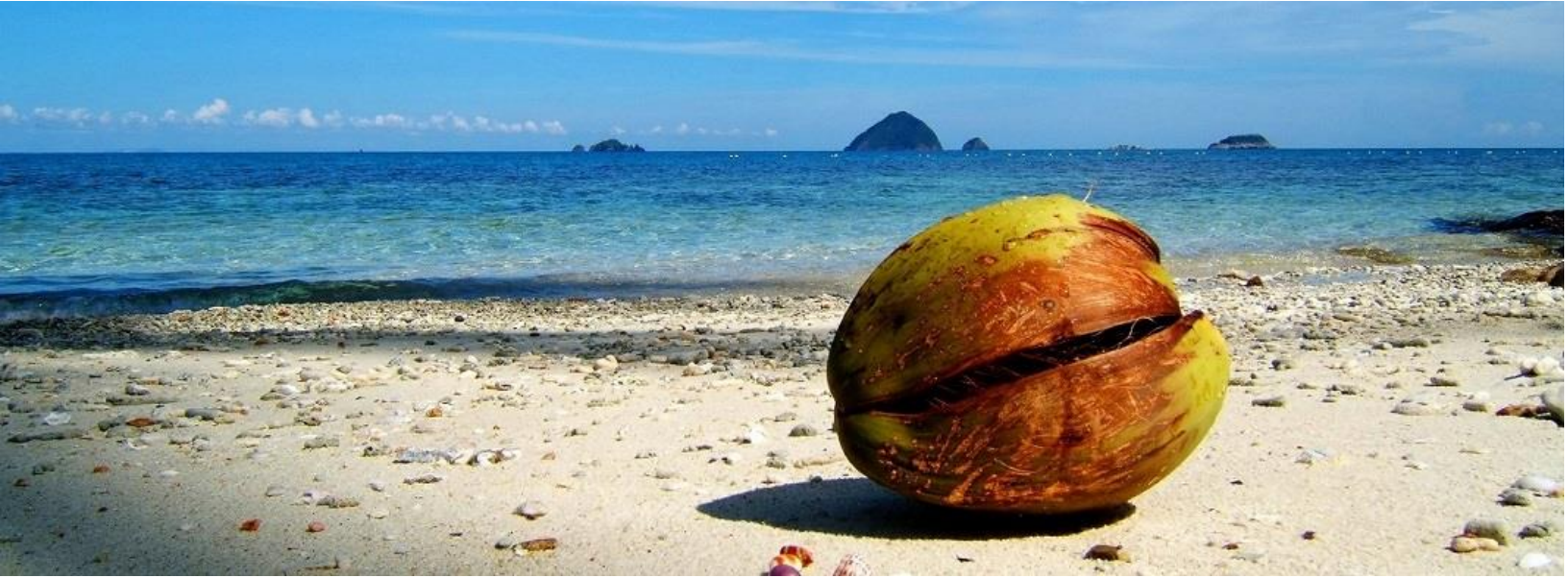
## Recommended Citation

Endres, Thomas G., "The Image of Adventure in Literature, Media, and Society: 2019 SASSI Conference Proceedings" (2019). *Society for the Academic Study of Social Imagery*. 3.  
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# THE IMAGE OF ADVENTURE



## in Literature, Media, and Society

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2019 Conference Proceedings

*Society for the Academic Study of Social Imagery*

Edited by  
Thomas G. Endres

Published by  
University of Northern Colorado

ISSN 2572-4320 (online)

# **THE IMAGE OF ADVENTURE**

**in Literature, Media, and Society**

Proceedings of the  
2019 Conference of the  
Society for the Academic Study of Social Imagery

March 2019  
Greeley, Colorado

Edited by  
Thomas G. Endres  
University of Northern Colorado

Published by  
The Society for the Academic Study of Social Imagery  
University of Northern Colorado  
Greeley, Colorado

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**ISSN 2572-4320 (online)**

## Introduction and History

These papers have been selected from among those presented at the spring 2019 conference of the Society for the Academic Study of Social Imagery (SASSI), devoted to the theme of THE IMAGE OF ADVENTURE in Literature, Media, and Society. The theme – and keynote address, delivered by UNC English chair Andreas Mueller – was selected in honor of the 300<sup>th</sup> anniversary of Defoe's *Robinson Crusoe*. As the following papers demonstrate, this is a rich and provocative topic with interesting and surprising implications.

Originally, the SASSI conference was known as SISSI (with the word "Interdisciplinary" used instead of "Academic") and was held for 25 years in Colorado Springs, CO. The following historical overview was written by SISSI co-founder Will Wright:

*In the fall of 1990 Dr. Steve Kaplan and I decided to try to hold an interdisciplinary conference in the spring of 1991. We thought Colorado was a place people like to visit and that we should take advantage of that somehow. Although our University was in Pueblo (then University of Southern Colorado, now Colorado State University-Pueblo), we thought the conference should be held in Colorado Springs, about 45 miles north, because flying into Colorado Springs was much easier. We thought the conference should be interdisciplinary because he was a professor of English and I was a professor of Sociology. We decided that the organizing idea of the conference should be Imagery, which seemed vague, abstract, and interdisciplinary, and that each annual event should have a more specific topic – The Image of (Something). We called ourselves, as an organizing structure, The Society for the Interdisciplinary Study of Social Imagery (SISSI), and then we picked the topic of the first SISSI conference, The Image of Crime.*

*We found a great hotel, the Antlers in downtown Colorado Springs, and we reserved a set of meeting rooms and guest rooms. Then we made up and mailed out a Call for Papers, wondering if anyone would come. We decided to hold the conference in mid-March because we thought the weather would be good but that skiing would still be possible, so that people might come to the conference so that they could then go skiing. We asked a friend, the well-known criminologist Travis Hershi, if he would give a Keynote address, and he agreed. We figured out a registration fee, I think around \$60, and a Proceedings fee (around \$20), since we planned to produce a Proceedings, and we planned a two day conference. We accepted about 60-70 proposals, from around the country, and most people actually came, participated in sessions, and told us they had a good time. We could pay our bills with the money from the fees, and so it seemed to be a success, much to our surprise.*

*We began to plan a second conference but this time we would plan for three days and send out far more Calls for Papers. The topic for the second year would be The Image of War, and this time we had about 150 participants, another success. After that we had our routine. We had a mailing list for the Calls of about 2000 universities and about seven departments at each university. We always arranged the conference at the Antlers Hotel, always for three days, and always in the middle of March. And our attendance ranged, depending on the topics, from about 120 to about 180.*

*The Conference in this form lasted twenty-five years. Some of the topics included The Image of Nature, The Image of Technology, The Image of Violence, The Image of the Frontier, The Image of the Road, The Image of America, The Image of the American West, The image of the Outsider. Some of the Keynote Speakers included Vine Deloria, Jr. (Custer Died for Your Sins, God Is Red), Stanley Aronowitz (False Promises, Science as Power), Fredric Jameson (The*

*Political Unconscious, Postmodernism, or, the Cultural Logic of Late Capitalism), John Nichols (The Milagro Beanfield War, The Magic Journey), Patricia Limerick (The Legacy of Conquest, Something in the Soil), and Carl Plutsch (Young Nietzsche, Beyond Preservation). Throughout the conferences the presentations were generally stimulating and the*

*sessions were generally lively. It was a rewarding effort and experience, and Steve and I are thrilled that it will now be continued in a slightly different form at the University of Northern Colorado.*

*Will Wright  
Department of Sociology*

Over the years, the SISSI conference became a favorite for our faculty and graduate students here in the School of Communication at the University of Northern Colorado. Upon professor Wright's retirement, we felt a great loss when there was no SISSI conference in the spring of 2016. We contacted Will and asked if he would be willing to pass the torch to us, and he thoughtfully turned over the reins. We have tried to keep intact as much of the original conference feel and structure as possible, e.g. keeping "The Image of (Something)" theme. Upon reflection, we rebranded the association as SASSI as a way to honor the long-standing title while simultaneously making it our own.

While honoring the past, in many ways it is like starting over. Our inaugural 2017 theme - The Image of Rebirth - reflected that regeneration. The two-year hiatus since the 2015 conference, coupled with a new name and new locale (in a town on the edge of the plains with no commercial airport and no nearby skiing) disrupted the established momentum of SISSI. The first SASSI conference, like its forebearer, was modest in size yet dynamic in output. Both 2018 and 2019 showed small but encouraging increases. Just as Will Wright and Steven Kaplan experienced more than 25 years ago, we are hopeful the conference will grow in both popularity and size.

We thank the SISSI founders for allowing us to carry the discussions of social imagery into its new era, and hope you enjoy these contributions from our inaugural gathering.

Thomas Endres  
SASSI Executive Director  
University of Northern Colorado

July 2019

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## **Bilingualism: Adventures in Language and Culture**

Jennifer Barajas  
Bradley University

Imagine growing up speaking two different languages, where one is predominantly used at home and the other is used for just about every situation outside of the home. Many bilinguals are not only communicating in two languages, but also navigating two different cultures. Thus, these individuals are bilingual, bicultural, and oftentimes biliterate. They have one foot in, and at the same time one foot out of each culture. One term that is often used with bilinguals who grow up surrounded by speakers of a non-majority language is “heritage speaker”. Here we will discuss heritage speakers of Spanish who have grown up in the United States. While there is not one definition that all scholars agree upon, Valdés (2000) posits that heritage Spanish speakers have parents who speak Spanish at home and this results in the development of Spanish language skills. “The degrees of language proficiency in particular cases and the number of variables in the profiles of these students are complex and dependent on multiple circumstances” (Colombi and Roca 2003 2). As a result, heritage Spanish speakers have varying levels of language production and comprehension, depending on a multitude of factors, and therefore each individual has unique experiences. In the heritage Spanish classroom at the university level, students oftentimes lament that they do not fit nicely into either of the two cultures. Their accent or appearance distinguishes them from the mainstream “North American” (from the United States<sup>1</sup>) and yet their grasp of the Spanish language makes them feel as if they are not authentically Bolivian, Colombian, Mexican, etc. Furthermore, issues of racism and discrimination, which are all too common in today’s society, only add to the feelings of linguistic insecurity<sup>2</sup> and lower self-confidence. Throughout this paper I explore the positive and negative imagery associated with heritage Spanish speakers (HSS going forward) with the goal of exposing the adventures and experiences that go along with being bilingual while also elaborating on strategies to increase confidence as a way to combat the negativity.

The advantages and positive outcomes are typically the first things that come to mind when we envision someone being bilingual. There is a preponderance of research evidence outlining the cognitive benefits including improved executive function, the ability to view situations from more than one perspective, and delaying the onset of Alzheimer’s, just to name a few (see Bialystok 2011 for one of many examples), and these are the images that we tend to focus on. Yet, experience suggests that society tends to give positive accolades to English speakers that learn a second language (L2), but speakers of another language (Spanish in this case) that also learn English do not receive the same praise for being bilingual. For instance, the Daily Mirror ran the headline “Princess Charlotte can already speak two languages – at age TWO” (Burke 2018), thus supporting the positive views toward bilingual skills. Yet, as an astute Twitter user points out, “So do most children of immigrants but I guess it’s less impressive when they’re poor” (@\_ColeNewberry 2018). This sentiment completely captures the differing viewpoints about bilinguals. Despite having achieved the same goal of speaking two languages, some bilinguals are viewed more positively than others. In fact, instead of being praised for speaking Spanish and English, HSS are sometimes ridiculed for making mistakes in both languages, further perpetuating the idea that they do not fit in. To make matters worse, this ridicule often comes from within their own families or communities. Potowski (2012 188) reports, “Their ways of speaking Spanish are often mocked by their own family members and others when they spend time in their families’ country of origin.”

As you can imagine, this makes HSS hesitant to even attempt speaking Spanish in certain situations to avoid this criticism. In the HBO series “Habla Ya,” which showcases the experiences of many Spanish/English bilinguals, one episode focuses on twins Marianela and Marissa and their difficulties getting into television broadcasting. They explain that they were not “Spanish enough for the Spanish market and not English enough for the English market,” meaning that they did not sound like monolinguals in either language. Once again, instead of highlighting their bilingual capabilities, they are mocked for not speaking the same way as their monolingual counterparts and for having an accent. Although the benefits are quick to come to mind when thinking of bilingualism, the negative aspects, such as feeling as if one does not belong, must also be addressed.

Further evidence of the divide between HSS and L2 learners of Spanish comes in the form of racism and discrimination from speaking Spanish in public spaces. When L2 learners use Spanish in public they are applauded for speaking a second language and trying to practice it outside of the classroom. Native Spanish speakers are impressed and appreciate the effort to learn the language and communicate with them in Spanish. However, when native speakers use Spanish in public spaces they are often reprimanded by English speakers and told, “This is America. Speak English.” In addition to the ignorance of this statement, since the United States does not have an official language, these types of responses show the lack of appreciation for diversity and no recognition of the speakers’ bilingual capabilities. In fact, there is often the erroneous assumption that people who speak another language in public do not speak English (Barajas and Noriega 2008). Unfortunately, as Ana Celia Zentella (2019) explains, there is a “hired for speaking Spanish, fired for speaking Spanish” mentality. As a society we encourage learning another language and see this as an advantage in the workplace, an attribute that will help people get hired. However, time after time we see native bilinguals being punished or even fired for speaking Spanish in the workplace. In San Diego, California, employees at a grocery store were punished for speaking Spanish, even on their breaks. Wootson Jr. (2018) explains, “Managers repeatedly told them they could not speak Spanish, but gave no such admonishments to people in Albertsons uniforms who were not Hispanic.” In this situation, not only is language use being monitored, but also who can use which language. These types of reactions can escalate to employees being fired for speaking Spanish at work (Sesin 2019) to people being detained by U.S. Customs and Border Protection officials simply for having a conversation in Spanish in public (Silva 2019). Even institutions of higher learning are not immune to language discrimination problems, nor do these issues only occur with Spanish language use. Recently a university professor sent out emails to Master’s students warning them about speaking Chinese amongst themselves because “being so impolite as to have a conversation that not everyone on the floor could understand” was not appropriate and furthermore that faculty may not hire or work with these students because they are not taking the opportunity to practice their English outside of the classroom (Kaur 2019). Once again, the positive bilingual imagery is replaced with discrimination, assumptions about proficiency in English, retaliation for daring to speak another language, and, absurdly, anger for not being able to eavesdrop on students’ conversations. Rather than jumping to these types of conclusions, we should encourage linguistic diversity, praise the use of multiple languages by *all* speakers (HSS and L2s), and not discriminate based on language use.

Due to the discrimination they face when using Spanish in public, many HSS may feel the need to refrain from speaking their native language to avoid the types of situations mentioned above. This can result in linguistic insecurity, and even language loss (Rodríguez Pino 1997,



Carreira 2000). Although proponents of organizations such as U.S. English and ProEnglish believe that immigrants are not learning English, the reality is that by the third generation (that is, the grandchildren of immigrants or U.S. born Spanish speakers), Spanish use has been displaced by English (see Escobar and Potowski 2015, Flores 2017, among others). The problem, as Gamboa (2019) aptly points out, is not a problem with assimilation, but rather an issue of racism. Spanish speakers are targeted for speaking Spanish in public and having darker skin, even in the bilingual programs provided for them. Gamboa (2019) elaborates, “In education, there is a growing discussion over the disparity between the way school systems see programs for Spanish-speaking children — where the emphasis is on teaching English — and bilingual programs, which are increasingly popular for non-Latino, wealthier families who want their children to learn a new language.” We are basically discouraging Spanish speakers from speaking Spanish, while presenting the same language as an opportunity for non-Spanish speakers.

The students in my Spanish for Heritage Speakers course feel the weight of these differences. We examine topics such as bilingualism, the importance of terminology (i.e. Hispanic, Latino, or Latinx, among others), and the mixing of Spanish and English as a way to justify their feelings and work on increasing their linguistic and cultural confidence. At the beginning of the semester one student (1) wrote, “I am an outspoken person and I struggle with my cultural identity as I don't quite fit into my country of birth or my country of origin.” This is a common struggle and a topic we discuss at length in class as we sort through the positive and negative images associated with bilingualism. Another student (2) reflected, “I have trouble speaking Spanish but I am not a beginner. I hope to gain more confidence when speaking Spanish because I try to avoid speaking Spanish as much as I can because I will be embarrassed.” The lack of confidence is unfortunately very common as well. Therefore, the objectives for the course are to build upon the communication skills that HSS already have while also increasing their cultural knowledge. Potowski's (2012 193) discussion of a survey of university students in Illinois reveals, “that students wanted to improve their grammar and writing, and they wanted to study topics related to culture and to US Latinos” and therefore justifies the objectives of my course. We focus on academic writing in Spanish because, as Colombi and Roca (2003 9) point out, “Proficiency in academic writing is essential to gaining access to and succeeding in college and the job market.” Since many of my HSS are also first generation college students, I feel that learning the steps to writing an academic paper is a transferable skill that will ensure success in subsequent college classes. This line of thinking also aligns with one of the most prominent scholars in the field of Spanish heritage language research, Kim Potowski, who suggests that classes for HSS should look more like language arts classes in that their objectives are the development of reading, writing, and grammar skills (Escobar and Potowski 2015).

In addition to writing, I seek out ways in which HSS can use their language skills outside of the classroom as a way to gain both experience and confidence. Lynch (2003 38) suggests that to do this we “must integrate activities that require that learners use Spanish – and develop Spanish literacy – beyond the classroom.” This year I piloted an oral history project based on work by Foulis (2018). This was a multi-step project where students (HSS) interviewed a member of their family and focused on one cultural aspect. Ultimately they presented their results to the class in the form of an oral presentation, accompanied by visuals, and a written assignment. Despite the initial claims at the beginning of the semester that “I don't really speak Spanish,” all the students did a fabulous job presenting to their classmates. The reactions to the projects were positive and students felt that it was one of their favorite assignments of the semester. The HSS expressed that

they were proud to learn more about their families and many realized the sacrifices that had been made to get them to where they are today. They also enjoyed learning about different cultures since the students were a diverse group with families from Colombia, Ecuador, Honduras, Mexico, and other countries. Based on both the feedback and the quality of the projects turned in, I would call this assignment a success and look forward to fine-tuning and expanding on it for future classes. The adventures of HSS should be shared in a public way so that they are recognized and appreciated for being the amazing bilinguals that they are.

At the end of the semester, there were signs of improved linguistic confidence and appreciation for learning about the similarities and differences in the experiences and cultures of their classmates. The first student (1) from above explained, “This class reconnected me with my roots. I know that I’m different because I was born and grew up in the U.S., but I’m still Mexican. This class helped me with my grammar and made me feel better about writing in Spanish.” This increased confidence led this student to continue on to another class in Spanish. Meanwhile the second student (2) contemplated, “Before this class, I didn’t want to speak or write in Spanish because I knew that I was going to make mistakes. Thanks to you, now I can speak and write with confidence... I learned how to love my culture.” Not only does this student feel more confident about her language abilities, but she has also continued taking courses and is now a Spanish major. Despite many of the negative images (mentioned above) associated with being a HSS, these students were able to find more pride in their own culture and language.

Throughout this paper we have been able to envision some of the positive and negative images that come to mind when discussing the lives of HSS. Overall, there is room for improvement from society as a whole when it comes to appreciating linguistic diversity and the importance of language and culture. However, highlighting the adventures, trials, and tribulations of diverse people, such as the HSS described here, will hopefully result in the acknowledgement of their accomplishments and will help them to feel less isolated and more welcomed into the society of which they are an integral part. Although we have seen an increasing number of courses created for HSS in recent years, there is still room for advancement, especially in areas with smaller Latino populations. As the number of HSS continues to grow, we should strive to support the training of quality instructors and the creation of classes that will serve their unique needs and encourage their overall success.

#### Endnotes

<sup>1</sup> It is necessary to make the distinction “from the United States” since Mexico is also part of North America.

<sup>2</sup> This term means that speakers feel either that their variety of Spanish is less prestigious than others or that their proficiency level is not high enough (Leeman 2005, Escobar and Potowski 2015).

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## **The Pilgrim as Adventurer: The Travels and Adventures of the German Picaro in H. J. C. Grimmelshausen's *Simplicissimus***

Ralph W. Buechler  
University of Nevada – Las Vegas

In his excellent study *The Picaresque Hero in European Fiction* Richard Bjørnson suggests the following working definition of the picaresque novel: “An episodic, open-ended narrative in which lower-class protagonists sustain themselves by means of their cleverness and adaptability during an extended journey through space, time and various predominantly corrupt social milieu.” (4)

Inspired by such works as *Lazarillo de Tormes* (1554) and *Don Quixote* (1615), such an account of the peripatetic life lived upon fortune's wheel and survived by one's wit is typically held together by the perspective of a pseudo-autobiographical narrator.

Although the German novel first reached international acclaim toward the end of the eighteenth century in the form of the Bildungsroman, its roots reach back a hundred years to *The Adventurous Simplicius Simplicissimus or Simplicissimus Teutsch*, the satirical and picaresque novel of pilgrimage and utopia by H. J. J. von Grimmelshausen. Emerging from the landscape of seventeenth-century German literature—a literature known largely for its scholarly poetics, tedious historical novels, and highly rhetorical, mannerist lyric poetry—*Simplicissimus* stands out not only as one of the very few works rooted in the German literary Baroque still capable of attracting both scholarly and general readership today. It also proves itself to be the fountainhead of the German picaresque tradition, reaching all the way to Günter Grass' *Tin Drum* (1959).

I will argue that the protagonist of *Simplicissimus* represents the ultimate literary outsider as pilgrim and vagabond traveler through a world under-stood allegorically and emblematically as a road leading from innocent ignorance to worldly sophistication and ultimately to spiritual enlightenment.

What is more, the outsider status of the pikaro Simplicissimus is underscored by the idea of the *Great Chain of Being* that lay at the foundation of dominant 17th-century German feudal-absolutist society and the baroque monarchical-catholic *Leitkultur* (dominant culture) representing it. Before the background of a static hierarchy of nobility, clergy and lower classes, the divinely-ordained and rationally organized harmony flowed from God to monarch to nobility to the lowest commoner. Inequality was both natural and divine and morality lay in the recognition of one's place in this hierarchical order.

Like his fellow traveler Parzifal, Simplex enters upon his journey through life as an innocent, a guileless fool, and utter simpleton who must survive life's hard blows. The discursive baroque subtitle prefigures the whole arc of simplex' experiences or the complete wheel of Simplex' fortunes and misfortunes:

The description of a strange vagabond/called Melchior Sternfels von Fuchshaim/when and in what manner he came into the world/what he saw and learned and experienced and suffered and why he left it on his own will.<sup>1</sup>

Simplex' experience of the world ranges the spectrum from a complete withdrawal from the world—his very early and very late life as a hermit—to a total immersion or losing himself in the world. The former is defined by a perfect absence of travel, the latter is only made possible by an almost relentless and constant variation of location.

Simplex' travels structure his experience and ultimately his understanding of the world insofar as they define the relationship between the protagonist and his natural and social environment. Significantly, the prime mover of Simplex' travels is the Thirty-Years' War, or, as the author aptly terms the death and destruction wrought almost exclusively upon German soil, the German War.

In the following I would like to briefly elaborate upon the journeys of Simplex and subsequently attempt an interpretation of them from the perspective of Simplex's own development.

Born four years after the beginning of the Thirty-Years' War, Simplex is forced upon his very first journey as he escapes from marauding soldiers who kill his parents, actually stepparents) and destroy his home when he is but ten years old. After spending the next two years under the care of a hermit in a forest located in the Spessart region, he arrives at the court of Hanau, an innocent fool ignorant of the world. As page to the governor of Hanau, Simplex undergoes a slow metamorphosis with the help of friends and despite the malice of foes. Gradually he survives by way of his carnival license, by playing the fool instead of being the fool. Subsequently, he is coerced upon his next series of travels, as he is captured and forced into service by Croatian horsemen. Of this time Simplex states: "Never were we at rest, but now here now there: now we attacked and now we were attacked."<sup>2</sup> (142) We find him soon thereafter in the imperial camp laying siege to Magdeburg, then at the battle of Wittstock.

Simplex' ride on fortune's wheel approaches its zenith as he establishes himself as the Hunter of Soest, officially in the service of his commander, but in effect free to plunder and pillage at will. Simplex' fall from innocence and full entry into the world of treachery and deceit, of sin and crime, is marked by his journey—fantasy, nightmare or just tall tale (the reader must choose which)—to the *Brocken* or *Blocksberg* in the Harz Mountains. While plundering a house of its valuables, Simplex observes its inhabitants in the light of a sulfurous blue flame, sitting on a bench anointing sticks, brooms pitchforks, chairs and benches, upon all of which they promptly shoot out of the window. Sitting down upon a bench, Simplex recounts:

I and the bench together flew straight out of the window . . . and I came, me thought, in a thrice to a great crowd of people . . . these

folk were dancing of a wondrous dance, the likes of which I saw never in my life, for they had taken hands and formed many rings within one another, with their backs turned to each other like the picture of the Three Graces, so that all faced outwards.<sup>3</sup> (195)

So begins Simplex' description of his experience of the Witches' Sabbath. Dressed all in green as the Hunter of Soest, Simplex' fame now precedes him wherever he rides: "So now I was feared like the plague itself, so that thirty men of the enemy would not be shamed to flee before me, if they did but know I was in their neighborhood with fifteen."<sup>4</sup> (1195)

But parallel to this fame there runs Simplex' growing realization that it was purchased at the infamous price of a dissolute life:

I became so godless and wicked that no villainy was too great for me to compass. But at least I was secretly envied, especially by my comrades, as having a luckier hand at thieving than any other, and also by my officers, because I cut such a figure, was lucky in forays and made for myself a greater name and reputation than they themselves had.<sup>5</sup> (212)

The scope of this paper prohibits our following any further Simplex' endless adventures. Suffice it here to note that Simplex' journeys carry him to a bewildering array of places, mainly in German countries, but also as far west as Paris—where his amorous adventures and misadventures earn him the title of *Beau Alman*—and as far east as Russia and even Japan.

As vagabond, quack, cheat and huckster, Simplex lives true to the picaresque tradition by his wits and by Gods providence, torn between a growing consciousness of his deeds and the ever strong temptation to repeat them.

By now, Simplex' travels have become a baroque mixture of encyclopedic data and fantastic adventures in the manner of Baron Münchhausen. Indeed, the phenomenon of travel has become the central allegory for experiencing the world as outsider without ever being part of that world. It is the perfect antithesis of the hermit's vacuum of experience resulting from never leaving home.

I would suggest at this point that Simplex' travels constitute a pilgrimage, because their meaning resides not in the journeys themselves but in the development of Simplex' consciousness of himself in the *verkehrte* (sinful and reversed) world. Such consciousness is captured in the three maxims given to him by his hermit-father—know thyself, avoid bad company, remain constant.

In the remainder of this paper I will briefly discuss two central aspects of the narrative that underscore well the understanding of Simplex' travels as allegorical pilgrimage for the maturation of his consciousness and enlightenment:1) the emblematic frontispiece of the original

edition and 2) the epilogue or *Continuatio* to the original five books of the work.

The frontispiece may best be understood from the perspective of the emblematic tradition that was well established in Germany by the time of Grimmelshausen's *Simplicissimus*. Under the inscription of the book's title the image portrays a grotesque composite of phoenix-satyr-bird-fish pointing to the picture book of life containing all the worldly vanities.

To mock these vanities, the satyr is trampling upon the seven masks at his feet, masks that are worn as he acted through the many scenes upon the stage of the Thirty-Years' War.



These masks also function as parallel signifiers to the planetary symbolism reflecting Simplex' life:

Saturn—peasants, hermits, loneliness, nature, magic, fraud, intrigue.

Mars—soldiers, war.

Jupiter—fools, madmen, wisdom, eloquence, fame.

Sun—wealth, honor, rationality, intelligence.

Venus—beauty, love, eroticism.

Mercury—medicine, charlatanry, liars, thieves.

Moon—water, dreams, transition.

Exploiting the conventional seventeenth-century association between satire and satyr, the satyr's enigmatic smile, obscene gesture and pointed sword all suggest the manner in which satire mocks false appearances. Traditionally the satyr adopts many masks and believes in none of them. Like him the narrating Simplex has worn many disguises and he is now describing them in an attempt to strip the façade of respectability from all the vices and follies of mankind. From his perspective the entire world is a theater of masks—everyone wears them and each person wears many different ones during a lifetime.

Most importantly then, from his satirical standpoint of a *mundus inversus*, the satyr both ridicules the worldly life as transitory and superfluous and derides the self-delusions, the masks one must wear to succeed in this world.



Just as the satyr tramples the seven masks of the frontispiece, the narrator repudiates the roles governed by the seven planets during his life—a life in which each successive mask is tried and proven false.

Finally, the *subscriptio* functions not only as the word that enlightens the dark and cryptic image—it also prefigures and encapsulates the meta-*subscriptio*, the narrative itself:

I was born of fire, have flown through the air, traveled under water and across land. In these travels I observed what often afflicted and seldom delighted me. What was it? I've written it down in this book, so that the reader may do as I have done: withdraw from folly and live in peace.<sup>6</sup>

The very end of the original fifth book and the sixth book or *Continuatio* detail Simplex' withdrawal from worldly folly and his return to the hermit's peace, a peace derived from a higher, enlightened and spiritual consciousness, not from Simplex' original innocence and ignorance.

At the conclusion of the original narrative the author expresses Simplex' enlightenment through an extensive paraphrasing of Antonio de Quevara's reflections on the vanity of worldly life, reflections encapsulated in the anaphora that begins each new paragraph: "adieu world."

Written in part due to the success of the original *Simplicissimus*, the *Continuatio* has often been deprecated as a mere series of superfluous chronicles, supernatural tales, fables, adventures and allegories. Yet, the *Continuatio* of 1669 is significant not only because it anticipated one of the great travelers of the Enlightenment, Robinson Crusoe, but it also provides the foundation for and perspective from which the enlightened

Simplex, now shipwrecked on an unknown island somewhere in the Indian Ocean, records his story. Indeed, part of Simplex' spiritual understanding and service to God manifests itself in the very writing of the chronicle of his adventures. Now, deep within a dark cave, illuminated only by mysterious boxes emanating a spiritual light, he writes upon palm leaves that are finally brought back to civilization by a Dutch sea captain, who is blown off course and onto the island by the storm.

In conclusion then, the frontispiece emblem and the *Continuatio* both demonstrate that Simplex' travels through Germany and across Europe and Asia and ultimately to the uncharted island constitute a meta-narrative of spiritual and didactic allegory. Simplex' real journey is the pilgrimage of folly from station to station and level to level. Each location, each station and level function allegorically for the many, various and contradictory ways of being in the world but also outside the world. All of his travels function finally as prelude to the only pilgrimage that matters for Simplex, the spiritual pilgrimage away from and out of this world.

## Endnotes

<sup>1</sup>“Die Beschreibung des Lebens eines seltsamen Vaganten/genannt Melchior Sternfels von Fuchshaim/wo und welcher Gestalt er nemlich in diese Welt kommen/was darin gesehen gelernet erfahren und ausgestanden/auch warumb er solche wieder freywillig quittirt.” (All translations mine.)

<sup>2</sup>“Nie waren wir zu Ruh, sondern mal hier, mal dort; jetzt griffen wir an, jetzt wurden wir angegriffen.”

<sup>3</sup>“Da fuhr ich samt der Bank gleichsam augenblicklich zum Fenster hinaus. . . . denn ich kam, wie mich bedünkte, augenblicklich zu einer großen Schar Volks, . . . diese tanzten einen wunderlichen Tanz, dergeichen ich mein Lebtage nie gesehen, denn sie hatten sich bei den Händen gefaßt und viel Ring ineinander gemacht, mit zusammengekehrten Rücken, wie man die drei Grazien malet, also dass sie die Angesichter herauswärts kehrten.”

<sup>4</sup>“ . . . davon wurde ich gefürcht wie die Pest und schämten sich dreißig Mann vom Gegenteil nicht, vor mir durchzugehen, wenn sie mich nur mit fünfzehn in der Nähe wußten.”

<sup>5</sup>“Ich wurde so gottlos und böse, dass mir kein Schelmstück, solches zu begehen, zu groß war. Zurletzt wurde ich auch Hhentlich geneidet, zumal von meinen Kameraden, dass ich ein glücklichere Hand zu stehlen hatte als ein anderer, von meinen Offizieren aber, dass ich mich so toll hielt, glücklich auf Parteien handelte und mir ein größeren Namen und Ansehen machte als sie selbst hatten.”

<sup>6</sup>“Ich wurde durch Feuer wie Phoenix geboren. Ich flog durch die Lüfte, wurde doch nicht verloren. Ich wanderte durchs Wasser. Ich reiste über Land. In solchen Um- schwärmen machte mir bekannt was mich oft betrübte und selten ergötzte. Was war das? Ich habe es in dieses Buch gesetzt, damit der Leser gleich wie ich es tue: entferne der Torheit und Lebe in Ruhe.”

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## **Nuclei of Foreign Policy Allegory: Political Allusion in the Misadventures of the 'Mexico Western**

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This paper explores the ideological significance of three 1960s Westerns which present misadventures in the US-Mexico borderlands. Employing the allegorical templates of Richard Slotkin, who conceives of the “Mexico Western” sub-genre, I argue that *Major Dundee* (1965), *The Professionals* (1966) and *The Wild Bunch* (1969) use narratives of misadventure which resonate with 1960s conditions of imperial overstretch. I move beyond this Vietnam subtext by positing that the contradictions of the Mexico Western have a salience which transcends the 1960s, containing relevance for the sense of populist misadventure which has dominated American politics since Donald Trump’s 2016 election victory.

### **1. Major Dundee’s fragmented kaleidoscope of foreign policy misadventure**

In his landmark 1992 book *Gunfighter Nation: The Myth of the Frontier in Twentieth Century America*, Richard Slotkin comments on the “Mexico Western” and its synchronicity with the Vietnam War’s upheaval. These Westerns emphasized a “disillusioned sensibility”, translating the “ideological paradoxes of the Vietnam War into mythic terms” (561). The adventure narrative of Sam Peckinpah’s 1965 film *Major Dundee* encapsulates this connection between film tone and political zeitgeist. It opens in New Mexico territory circa 1864, where Union cavalry officer Major Dundee garrisons Confederate prisoners because of a tactical error at the Battle of Gettysburg. Dundee’s boredom alleviates when he discovers a massacre of settlers conducted by local Apache leader Charriba. Responding to the tragedy and compensating for his lack of martial valour, Dundee employs a motley group of men for a punitive expedition against Charriba in Northern Mexico, creating political alignments which invoke the cultural and racial divides of 1960s America.

His coalition of soldiers incorporates manumitted African-American slaves and confederate prisoners, an incongruous alliance which somehow conjoins memories of the civil rights movement and the vulgar populism of George Wallace. A campfire scene sees Dundee break up a fight between the two groups, forestalling conflicts familiar to 1960s audiences. It is in the realm of foreign policy, however, where *Major Dundee*’s adventure narrative provides obvious allegorical salience. An imperialist subtext intrudes when Dundee discovers Mexico’s own civil war, encountering independence rebels battling the French empire. This scenario references a reality contemporaneous to the 1864 setting. While Lincoln’s Union was preoccupied with internal hostilities, the French emperor Napoleon III attempted to install a puppet ruler in Mexico and provoked war between Mexican ‘Juarist’ Republicans and pro-French traditionalists.

The inclusion of this history in *Major Dundee* presents an overture to both France and the United States’s postwar ventures in Vietnam. Hints of colonialism manifest after an ambush causes Dundee’s platoon to lose most of their supplies, prompting Dundee to endorse raiding a Mexican rebel village for rations. To David Desser, this decision alludes to the dynamics of America’s entrance into the Vietnam War. He conveys a lineage “eerily connected to Vietnam, where the United States followed the (defeated) French into Indochina, but were themselves defeated by less traditional and equal fighters” (Desser 146).

Yet it is equally interpretable that Dundee's incursion indicates sensibilities synergetic with aspects of the Johnson administration's foreign policy idealism, expressing a power counteracting its role as colonial legatee. Instead of looting the village, Dundee shares what little resources his men have with the Mexican rebels, a display of solidarity commemorated in a fiesta. Trooper Ryan, who sporadically narrates the events of *Major Dundee*, comments on the altruism. He reflects, "We entered the village to take away their horses...But instead gave away our own...And they were never more thankful". The policy purveyed here possesses similarity with what the International Relations historian Walter McDougall calls "Global Meliorism", an American diplomacy "based on promoting democracy, defending human rights and fostering economic growth" (208). To McDougall, President Johnson's financial and humanitarian aid to South Vietnam signaled this agenda, connoting "the international version of our Great Society programs", a sanguine vision nullified by quotas of "pacified villages and body counts" (190).

*Major Dundee's* adventure narrative captures this uncomfortable dichotomy of idealism and militarism. During the village celebrations, confederate Captain Benjamin Tyreen reminds Dundee of his mission's primary purpose, the assassination of Charriba. He remarks that this goal makes Dundee fit only to be a "jailer" or "tyrant", lacking the "temperament of a liberator". Tyreen's summary of Dundee's schismatic political persona overlaps with schools of diplomacy recorded by the International Relations historian Walter Mead and his view of a "kaleidoscope of American foreign policy" (30). If the labels of "jailer" or "tyrant" match what Mead calls the Jacksonian school and its hawkish "faith in military institutions" (244-245), Tyreen's ambitions to be "liberator" are affinitive with the Wilsonian school's goals of "spreading American democratic and social values throughout the world" (xvii). The subsequent division of Dundee's journey into two competing narrative facets, one fixated on his relationship with the widow of a Juarist doctor and the other still focused on his hunt for Charriba, suggests an allegory of an America reconciling its Wilsonian romanticization of self-determination with the Jacksonian exigencies of military force.

*Major Dundee's* third act hints at the incompatibility of these political dimensions, a futility which crystallizes in Dundee's abandonment of the Juarist widow and the broader Mexican independence cause. Heading back to America in the hope of luring Charriba, Dundee's final encounters reveal the foreign policy misadventure at the heart of his punitive expedition. Although Charriba is successfully trapped and killed, Dundee's men become cornered by the French army, who seek revenge against the American interlopers. In a dramatic display of solidarity, Tyreen becomes moved by a French soldier's seizure of an American flag. This traducing motivates Tyreen to distract the imperialists and martyr himself, saving the remainder of Dundee's platoon and consolidating realist nationalism over Wilsonian internationalism. The film concludes with the remainder of Dundee's men arriving in the United States of April 1865, where, unbeknownst to them, Lincoln has been assassinated and the civil war has ended.

## **2. The Professionals and the domestic costs of militarist misadventure**

*Major Dundee's* epilogue encapsulates the ungainly efforts of Dundee's political contortions, elucidating collisions applicable to the contemporaneous Vietnam War. *The Professional*, which is set in 1917, manifests comparable dynamics, signifying the cultural divides resultant from foreign misadventure. Although modern in its allegorical implications, Richard Brooks's 1966 picture conveys this subtext through subverting tropes of what Slotkin calls the

“captivity narrative”, a Western storyline descended from the mores of Seventeenth Century colonial America. Slotkin argues that the captivity narrative concerns the vulnerability of an American white woman, traditionally kidnapped by Mexicans or Native Americans, who “symbolizes the values of Christianity and civilization that are imperiled in the wilderness war” (14). *The Professionals* initiates this motif when wealthy American rancher J.W. Grant hires four men to retrieve his wife Maria from Mexican revolutionary leader Jesus Raza.

The four men encompass weapons specialist Fardan, explosives expert Bill Dolworth, horse wrangler Hans Ehrengard, and Jake Sharp, an Apache scout turned pro-American mercenary. Fardan and Dolworth fought in Mexico’s recent revolutionary upheaval under Pancho Villa and respect Raza as a soldier, a revolutionary kinship which emerges uncomfortably when they infiltrate the leader’s private quarters. They find, however, that Maria is in a consensual relationship with Raza and that Grant’s claims of a kidnapping are disingenuous, thus nullifying the captivity narrative framework.

Slotkin posits that much of *The Professionals* allegorizes the Kennedy administration’s employment of counter-insurgency and support for decolonization in the early 1960s. He contends that Fardan and Dolworth’s former identities as revolutionary sympathizers make them “realist-idealists in the Kennedy mold who used their gift for ruthless pragmatism in the cause of liberation” (Slotkin 569). Putting their backstory simply, Fardan and Dolworth sympathized with the sovereignty desired by their Mexican allies and sought to enable this self-determination as long as it fostered a democratic capitalist regime. To Slotkin, both individuals abandoned this policy after becoming “disillusioned” with the revolution’s “degeneration”, a shift which implicitly mirrored America’s failure to realize meaningful self-determination against the escalation of Vietnam (569). Yet there are several plot elements which prompt additional allegorical readings. In the second half of Brooks’s picture, Fardan relays his memories of involvement in the 1911 Mexico revolution to Maria. He recalls his witnessing of “bombs going off across the Rio Grande”, the revolt which had “busted wide open” and his yelling of “viva le Mexico”, a chain of events deemed “beautiful”. The incongruous affinity in Fardan’s recollection seems invocative of the American collaboration with Ho Chi Minh’s Vietminh against the Japanese towards the end of the Second World War, an alliance sanctified when OSS soldiers allowed themselves to be photographed saluting the Vietminh flag-raising ceremony after the Japanese surrender (Hastings 10).

This endorsement of indigenous self-governance, rather than the neo-colonialism of capitalistic nation-building, presages an ending which favours anti-imperialist revolt. In the epilogue, the men return with Maria and a wounded Raza to Grant’s ranch, seemingly fulfilling their part of the deal. This is deception, however, rather than reality. In a reversion of the captivity narrative, the mercenaries’ double cross Grant and let Raza and Maria abscond to Mexico on a train, refuting their original mission. The pugnacity of the closing dialogue, in which Grant calls Fardan a “bastard” but receives the retort that “he is a self-made man”, harnesses the culture wars engulfing the contemporaneous United States, reflecting divisions consequent from Vietnam.

### **3. *The Wild Bunch* and the portrayal of misadventure as diplomatic nihilism**

The misadventure which drives *The Wild Bunch* blends both *Major Dundee*’s foreign policy incoherence and the countercultural rebellion in *The Professionals*, synthesizing the tumult

of the American 1960s. The opening of *The Wild Bunch* takes place in a staid Texan town circa 1911. A close-up shot of a fight between a nest of ants and a scorpion operates as a microcosm for what Matheson defines as the “issues of violence in American society and American foreign policy” (225). Indeed, the battle is cheered on by children, a spectatorship emblematic of the desensitization stemming from Vietnam and domestic riots. It is a nihilism which portends the destruction wrought by Pike Bishop and his gang of aging outlaws, who launch a robbery on a nearby railroad office. The robbery begins against the backdrop of a temperance parade, igniting the spectre of a culture war between Bishop’s anarchic vagabonds and the conformism of corporate and conservative evangelical America. A subsequent shootout between Bishop’s gang and bounty hunter Deke Thornton renews the allegorical salience, begetting carnage viewed by Slotkin as allusive to the “urban battles of Tet, and of Detroit and Newark” (598).

As in the previous films discussed, it is the misadventures in Mexico which elicit ideological synchronicity. Soon after crossing the border, Mexican gang member Angel introduces the bunch to his hometown of Agua Verde, a village impoverished by the military dictatorship of local autocrat General Mapache. This plot development increases in allegorical resonance when Angel discovers that his former girlfriend Teresa is in a relationship with Mapache. The shock killing of Teresa by Angel compels the gang to steal guns for local autocrat General Mapache, initiating an alliance which recalls US support of the South Vietnamese Diem and Thieu dictatorships.

Tensions between militarism and idealism resurface in a conversation between Bishop and Angel, who resents the pact with Mapache. As a compromise, Bishop proposes to pay Agua Verde’s peasants with money earned from gunrunning and offer them a ranch safe from oppression. Slotkin compares this quixotism to “a classically liberal solution, akin to the peace process offered by Lyndon Johnson in his Johns Hopkins address of April 1965, in which the North Vietnamese and VC were to give over their revolution in exchange for a massive program of American economic aid” (598). Angel’s response, that “this is their land”, emphasizes the futility of this idea, foreclosing the Global Meliorism first glimpsed in *Major Dundee*.

The climax of *The Wild Bunch* depicts a chain of events which correspond with the destructive Americanization of the Vietnam War, an imperial misadventure escalated by the US sponsored killing of South Vietnamese leader Diem in November 1963. When Mapache executes Angel for treason, Bishop promptly shoots the general in a moment with echoes of Diem’s execution, placing the American interlopers on the side of Mexico’s political radicals. The local peasants, however, refute this realignment by declining to save Bishop’s men from death at the hands of Mapache’s soldiers. The effort to win hearts and minds and side with the oppressed is a doomed cause, plagued by cognitive dissonances which vitiated American conduct in the Vietnamese theatre.

#### **4. Conclusion - The Mexico Western’s continued relevance for foreign policy disarray**

Mexico Western tropes resonate beyond the 1960s. *Three Kings* (1999), which concerns four American soldiers who become involved in a rebellion against Saddam Hussein’s regime following the First Gulf War’s ceasefire, elucidates political collisions analogous to the dramas of the three films explored. By emphasizing tension between Jacksonian militarism and Wilsonian ideals of democracy promotion within the sphere of military intervention and employing

countercultural undertones, David O’Russell’s film mines discrepancies located in the drama of the 1960s Mexico Western. The Trump presidency, with its fixation on an amorphous Central American menace, seems to warrant a resurgence of the Mexico Western genre less allegoric in manifestation. The president’s recent stress on a border wall designed for the exigencies of humanitarian crisis, rather than the Jacksonian populism of his 2016 campaign, perhaps invites the Mexico Western’s diplomatic incoherence (Hodge Jr and Gostin). Although the embers of the Vietnam syndrome may be extinguished, the pursuit of populist misadventure, a phenomenon which has beleaguered the United States with even greater amounts of political contradiction, demands the nihilistic glare of a Mexico Western sensibility.

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## **Adventures in Bullfighting: The Creation of Spanish Culture in the Paintings of Francisco de Goya and Ignacio Zuloaga**

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A common image that comes to mind when people think of Spain is the bullfight. Or perhaps the bullfighter, with his brilliant costume, slicked back hair, complete entourage, the shouts of “ole!” and the spectacle of the bullring. It conjures up a romantic vision of Spain that, in contemporary society, really doesn’t fit. This has caused a bit of controversy. Several autonomous communities in the country, most notably Catalonia, have tried to make bullfighting illegal, citing the inhumanity of the “sport” and the cruelty toward the bulls. Yet in the recent elections in the autonomous region of Andalusia, Vox, a newer, far-right national party whose platform includes the defense of the bullfight, won twelve seats in the regional parliament. When asking many people who voted for Vox why they did so, one of the reasons was the defense of national symbols, of which bulls are a part (*El País*). Actually, Vox is an upstart voice in a coalition of conservative political parties who are looking to oust the current socialist government that holds power. So, the spectacle of the bullfight is seen as both a cultural and political flashpoint in the country.

Originally associated with pagan religious festivals, the modern concept of bullfighting came into being in 1726 with the introduction of the sword and cape, and the individual combat between toreador and beast on foot. As the 18<sup>th</sup> century progressed, a sport that was once reserved for the nobility and elites became available to the lower classes, and was seen as an event that Spaniards of all classes could attend together. And after the defeat of the French in the Peninsular War in 1814, King Ferdinand VII saw the bullfight as a means to unite the entire country as Spain looked to get back on its feet after 6 years of war. The 19<sup>th</sup> century proved pivotal to making the bullfight a national spectacle in Spain. At both ends of the century, artists’ images of the bullfight created cultural icons that solidified the demonstration between man and beast as a quintessential Spanish pastime. No one better chronicled this art than Francisco de Goya in the early part of the century, contrasting an idealized vision of the country with a harsh critique of society. As Spain entered the *fin de siècle* period, the same mixture of idealism and critique was shown in the paintings of Ignacio Zuloaga. The works of these two painters combine the daring and romantic nature of the spectacle with a biting social commentary, which has helped reinforce the image of a mythical Spain full of adventure and tradition that continues to grapple with social problems in the present day.

While Goya originally earned fame during the final two decades of the 18<sup>th</sup> century with his cartoons created for the Royal Tapestry Factory, he quickly gained the respect of societal elites through his portraiture. It soon became all the rage to have a portrait done by the celebrated Court painter. As it was the Age of Enlightenment, the Spanish intellectuals and wealthy leaders actually running the country wished to portray a Spain that was quite the opposite of the social reality observed on the streets. They felt that the visual image of a healthy, progressive society would go



far to helping combat the backwardness that actually plagued the country, by creating a Spanish identity to which all Spaniards could adhere. As Goya was the Court painter, his artistic production would provide the model for not only the aristocracy, but also the common classes which imitated the elites. However, it became obvious in the urban centers, and particularly the capital of Madrid, where this progress would be spearheaded, that Spain was far from the advanced nation the intellectuals desired and that was shown on canvas. Álvaro Molina and Jesusa Vega observe that “the imagined pueblo was not located in the urban and manufacturing centers, but rather in the countryside, site of picturesque themes that ended up being extended to all types of paintings, especially in smaller works that began to proliferate in the domestic sphere of the nascent bourgeoisie...” (139)<sup>1</sup>. So, what was actually portrayed on canvas was an ideal representation of the populace that came from the more traditional, provincial way of life. This is particularly ironic because these depictions portrayed the pastimes of a popular class from the countryside and provinces, not the urban centers, where many of the wealthy lived. The lower classes in Madrid and other metropolises were often filthy, dressed in rags, and had no economic livelihood except for pandering or theft.

The 20<sup>th</sup> century Spanish philosopher José Ortega y Gasset wrote how Goya helped shaped the image of the “pueblo”, the lower and working classes for which Spain became so famous in the eyes of other European nations in the 19<sup>th</sup> century. In his essay “Prelude to Goya”, Ortega talks of “plebeyismo”, or plebism, the affinity of the upper classes of imitating the lowest of the social classes. He defines it thus: “the enthusiasm for the popular, not so much in painting” – which Ortega notes had been a consistent vein in all of European painting since the end of the 16<sup>th</sup> century – “but rather in forms of daily life, attracts the upper classes... Spain adds a vehement current that should be called plebism to the curiosity and philanthropic sympathy that sustained populism everywhere else” (523). The imitation of the lower classes was once restricted to the appropriation of language; yet in Goya’s time, and perhaps because of his paintings, it was now extended to other forms of representation, most notably dress, dance, song and plebian entertainments. The aristocracy began to imitate the lower classes who, in turn, would imitate the upper class, what Ortega called “the most authentic monstrosity” (524), thus fomenting and ensuring the portrayal of an almost fictitious culture.

Ortega notes that the greatest expression of this plebeyismo manifested itself as what, in Spanish, could be known as the three “Ts” – “trajes, toros y teatro”; in English it is dress, bulls and theater. The first of these represented a decline in the creativity of the nobility. In previous centuries, the upper classes provided the creative, political and intellectual leadership necessary for greatness, and which the lower classes would then imitate. However, when the Spanish aristocracy of Goya’s time forgoes the French influence and looks to the popular classes for apparel trends, the lower classes are in effect imitating their own style of dress. Not only do the upper classes forgo elegance, but also the attitudes, gestures and idioms that came about from a more sophisticated manner of dress. As Ortega notes, “the pueblo felt defenseless and abandoned, without models, suggestions nor disciplines that came from above” (525). One positive that came

from this lack of exemplarity of the nobility was the fact that the popular classes began to be inspired by their own styles and traditions. Goya's best examples of this can be seen in his "majos", or members of the working class in Madrid. These paintings are different from the other picturesque paintings, where Goya combines the majo dress with traditional rural pastimes. This inspiration of the lower classes from within their own ranks dates back to the end of the 17<sup>th</sup> century; however, from the almost complete lack of inspiration by the upper classes a century later came the self-reliance and spontaneity that characterized the popular class from the beginning of the 19<sup>th</sup> century on, and this would lead to the other two dimensions of plebeyismo, the bullfight and the theater, both of which were activities open to all echelons of society. Members of the different social strata could interact and enjoy the same forms of entertainment. With the imitation of dress added to the mix, the entire populace would on some level be blended together.

After the Peninsular War, Goya's work is much more critical of all levels of Spanish society. The idealized traditions of the primarily rural society that brought Goya fame prior to the war ceased to be a part of his repertoire. In fact, Ortega notes that the idea for those images came from the aristocracy; Goya himself didn't necessarily show attraction for painting Spaniards in traditional dress and customs: "the general indication that he paint national customs came to Goya from the high-ranking members of society, as well as many of the singular topics he included in his works" (523). One topic that did occupy his canvas frequently after the War was the bullfight and matadors, primarily in form of sketches and etchings. His series entitled *Tauromaquia* is the best known of these works. In it he includes both a historical and critical point of view. From a historical perspective, it is said that the drawings were meant to illustrate a work by author Nicolás Fernández Moratín entitled "Historical Letter on the Origin and Progress of the Bullfight in Spain", written in 1777. Other plates were added and, according to art historian Enrique Lafuente Ferrari, they can be grouped into "plates that evoke happenings, bullfighters, or concrete daily events of bullfighting", and "plates that represent chance events or incidents of bullfighting without any historical precision" (qtd in Heckes, 42). Much of the criticism of the *Tauromaquia* etchings regards them as a historical record of the rise of the sport, including references to Spain's Moorish past. As Andrew Schulz has remarked, the etchings allude to "a notion of Spanish national identity that equates nation with territory, as well as the development and adoption of a set of shared cultural practices within that territory" (195). After the first two plates in the series, which indicate early Spanish hunting practices, plates 3-8 of the series portray bullfighters in Moorish dress. This brings to mind the Christian Reconquest of the Peninsula from the Moors and the creation of the idea of Spain as a nation.

At the same time, there is the critical element which Goya attributes to his country at a satirical level. Due to the plate disorder and other historical inaccuracies in the drawings, Nigel Glendinning states that: "there was cruelty and coarseness in those who fought [the bulls] and those who watched, the *Tauromaquia* could be brought into line with Goya's other series of etchings [*Los caprichos* and *Los desastres de la guerra*], whose critical views and pessimism about human nature have long been recognized" (124). Another critic, Frank Heckes, asserts that the

series is really a critique of the spectacle inspired by anti-bullfighting treatises written during the beginning of the 19<sup>th</sup> century, in particular José de Vargas Ponce's *Dissertation Relating to the Bullfight*. He acknowledges that Goya's attitude toward bullfighting would have changed; that the romantic vision seen in some of the earlier paintings of the spectacle would have soured after the brutality of the Peninsular War, and that several negative treatises on bullfighting would have swayed his feelings toward the negative (46). Because the despot Ferdinand VII used the bullfight to gain favor among the popular classes, Goya uses the etchings to critique the regime. The popularization of the sport meant a reduction in the quality of the fighters as well as the beasts, and there was a more savage element to the spectacle. Heckes states, "There is an emphasis throughout the series on tragic accidents, gorings, disemboweled horses, foolhardy, reckless actions and coarsely distorted faces – all of which suggests that Goya's attitude toward bullfighting is highly critical" (47). Goya's etchings show the gruesome, the ridiculous, the pitiful and the misfortunate. However, even in all the brutality of the sketches, a sense of bravado pervades. In the later groups of etchings, and in his series *The Bulls of Bordeaux*, Goya portrays the affinity of the populace for the sport, by incorporating the crowds in the background. From plate 13 on until the end of the *Tauromaquia* series, there are ever-more present strokes showing the spectators. The development of the series, which in the beginning focuses on the fight between man and beast, slowly turns into the spectacle that it had become, and affirms the recognition of the legions of fans who applaud, and in some cases become participants in, the arena; however, in spite of the danger, Goya's etchings only further enhance the popularity of the sport and the bullfighting scene.

As the 19<sup>th</sup> century progressed, gradually the French influence filtered back into Spain, exposing a stark cultural contrast and suppressing the romantic image of the nation that brought many travelers over the Pyrenees. The somewhat primitive, unsophisticated depiction of Spain continued as a culture that shunned scientific discovery and reveled in religious doctrine. Even before the country lost the last of her vast empire in 1898 during the war with the United States, there were intellectuals who were tired of the constant bickering between a faded two-party system reminiscent of younger democracies and felt the need for a return to more traditional themes, those that existed during the time of Spain's rise to power centuries ago. Those traditions could be best found in the image of Castile, the center of the country that had resisted, with the exception of the capital Madrid, the European influences which some of these thinkers felt had corrupted traditional Spanish values. One painter who best visualized the traditional image that this group of intellectuals – known as the Generation of 98 – was looking for was the Basque artist Ignacio Zuloaga. Like many painters of his day, part of his artistic education and formation occurred in Paris, and Zuloaga fell under the influence of Impressionism. After an early stint with this movement, in which he experimented with different shades of light in his work, he returned to Spain and spent a few years in Seville before finally establishing a residence in Segovia. It is between the years 1898 and 1914 where Zuloaga's paintings are characterized by dark tones, long strokes and voluminous landscapes, particularly the Castilian settings. Early on he gained more fame outside of his country than within, perhaps due to the fact that his chief rival was Joaquín Sorolla, one of the best-known Spanish Impressionists, who painted many scenes of his native

Valencia. This is what endeared him to the Generation of 98: Sorolla painted in the Impressionist and later Modernist styles, both with heavy European (i.e. French) influences, and filled his paintings with great contrasts of light, canvases of primarily festive and light-hearted scenes. He focused on the periphery of the country, areas that were economically prosperous, regions that maintained a unique cultural difference with the rest of Spain, most notably Castile. The problem for some intellectuals was that the modernity associated with Sorolla's work was not helping Spain become a modern nation. As Fernando Calvo Serraller notes, "what destroys modernity is always the same thing: the memory of origin, the dream of a mythical collective identity that marks the origin of every community, the identity of the 'pueblos', the modern form of defending what remains of the tribe opposite the impact of an essentially urban modernity" (199). Zuloaga painted the antithesis of Sorolla.

Even though he was native Basque, he represented Castile and its traditions, the pure Spanishness that many intellectuals felt was needed to first regenerate the Spanish spirit in the wake of defeat and loss of the colonies, which would lead to a restoration of Spain's greatness, if only on the cultural plain. Zuloaga emulated former renowned Spanish artists, most notably El Greco in the use of dark tones and sweeping landscapes, and Goya with the fascination of bullfighters and traditional Spanish dress.

Zuloaga is best known for bringing out the Spanish character in the figures he paints. This was another of the reasons why his work was better received outside of Spain than within; art lovers in other countries appreciated the romantic imagery in his works: the stoic pride of the peasant, the elegance of the Spanish ladies and the bravado of the bullfighter. Some of the depictions of traditional Spanish images ruffled the feathers of some elites because Zuloaga, similar to Goya's later work, was not afraid to be critical of his country. Eric Storm remarks that the reason many elites critiqued Zuloaga's work was that they saw his work as "unpatriotic because it perpetuated the myth of Spain as a backward and barbaric country, by only showing the decadence of the Spanish countryside and the misery, barbarity and stupidity of its population" (575). What these critics failed to realize was that, in these sometimes-unflattering representations of Spain and its citizens, Zuloaga takes a page out of Goya's tactic of critique of his country. Although he, too, paints in the aftermath of a war, the savagery is not evident in these paintings, perhaps due to the fact that the war was waged in the Caribbean and not on the Iberian Peninsula. A major difference is the use of color, and that these were not just etchings, as Goya had done. Also, Zuloaga expresses hope, pride and exhaustion in the faces of his subjects. At times their haughtiness is portrayed as they evade the eye of the observer ("Belmonte en plata"); other times the direct contact denotes the daring with which they face the bull ("Toreros de Turégano). However, Zuloaga portrays a tired, worn out nation in the faces of his bullfighters in such paintings as "Victima de la fiesta" and "Viejo torero". They are old and beaten, a reference to the nation that suffered defeat at the hands of the young and modern United States.

The use of background spectators in Goya alluded to the fanaticism for the sport; with Zuloaga, the foregrounding of the matadors ("Achieta") and ladies of the bullfight ("El palco de

las presidentas”) makes them larger than life figures. The sweeping landscapes in the backdrop situate the cultural phenomenon in the heart of the country, Castile, hearkening back to the beginning of nationhood and the forging of the once vast empire. The veracity of the image is intact, but the representation highlights the imperfections of the nation.

Ortega goes so far as to call Zuloaga a “declared enemy of Europeanizing doctrine”. However, he finds a redeeming quality in this anti-Europeanizing attitude, in that it represents an authenticity opposing the affinity of other European nations to always be looking to modernize, to change. This attitude is “an unbreakable desire to remain, to not change, to perpetuate in an identical essence! For centuries our people has only wanted to be what it is; it never desired to be any other” (qtd in Calvo Serraller 228). This is a complicated defense of Spanish character, since it was not the intention of the intellectuals of the Generation of ‘98 to be proponents of a backward nation. Rather, the steadfast nature of the Spanish people and their individualist temperament were qualities that could be emulated and could help reinforce cultural significance in route to a regeneration of the nation’s spirit. Zuloaga’s work, in particular his paintings depicting scenes of bullfighters, was an essential part of this effort and, though ultimately the regenerationist movement yielded little success, the controversy surrounding his paintings provided an opportunity to debate the cultural direction of the country.

The debate over what it means to be Spanish versus part of the European community as a whole is coming full circle. For a period of almost 5 years, from January 2012 until October 2016, bullfighting was banned in Catalonia, only the 2<sup>nd</sup> autonomous region to do so after the Canary Islands banned the spectacle in 1991. Now, part of the far-right political platform focuses on the bullfight as a uniquely Spanish spectacle that separates the country from its European counterparts. Many of the liberal groups that denounce the bullfight as inhuman look to separate the barbarism from the image of Spanish culture, and are more in line with a common European social approach. This idea is not new; rather it continues to be a part of the debate over how Spain should be represented.

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<sup>1</sup>All translations from the Spanish are my own.

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**Let's Talk (Cake)shop:  
Artistic Adventure or Civil Rights Censure in Masterpiece Cakeshop v  
Colorado Civil Rights Commission**

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"few persons who have seen a beautiful wedding cake might have thought of its creation as an exercise of protected speech. This is an instructive example, however, of the proposition that the application of constitutional freedoms in new contexts can deepen our understanding of their meaning."

Justice Kennedy

"We are told here, however, to apply a sort of Goldilocks rule: describing the cake by its ingredients is *too general*; understanding it as celebrating a same-sex wedding is *too specific*, but regarding it as a generic wedding cake is *just right*."

Justice Gorsuch

"Craig and Mullins simply requested a wedding cake."

Justice Ginsburg

Ordering a wedding cake is an unlikely point of departure for a rhetorical adventure. For Charlie Craig and Dave Mullins, however, their quest began when Colorado baker Jack Phillips refused their wedding cake order on the basis of his artistic liberty and religious freedom of expression. The Supreme Court granted certiorari for the case, with Oyez commencing December 5, 2017, culminating in the Court's 7-2 Opinion, authored by Justice Kennedy, issued June 4, 2018. Justice Ginsburg dissented, joined by Justice Sotomayor.

Our study examines the (Cake)shop talk, focusing on the rhetorical ingredients of advocacy and media coverage of the mixture of characterological components in this establishment of meaning. Drawing from the Oral Argument and Opinion in the case, we supplement our analysis with selected media depictions.

Our study identifies the rhetorical framework constructed in the case, exploring these research questions:

RQ1: How does rhetoric function to create a discourse of artistic adventure versus a discourse of civil rights censure?

RQ2: How do media function in framing the rhetorical tenets of competing adventure?

**Interview With a Rhetorical Critic**

Q1 Edwards: What is the case stasis—the essential point of clash?

A1 Allen: The stasis is the proprietary right of an artist to control the conditions of his workmanship, to decide the kind of art to be created aligning with his religious values versus the right of equal access to goods and services provided on a nondiscriminatory basis.

Q2 Edwards: What is Justice Gorsuch proposing when he advances the “Goldilocks rule?”

A2 Allen: Just as the tale of “Goldilocks and the Three Bears” finds some properties too large and others too small, the “Goldilocks rule” invoked by Justice Gorsuch in his Concurrence with the Court’s decision finds some definitions too expansive and others too narrow: “We are told here, however, to apply a sort of Goldilocks rule: describing the cake by its ingredients is *too general*; understanding it as celebrating a same-sex wedding is *too specific*; but regarding it as a generic wedding cake is *just right*.”

Q3 Edwards: Is there a rhetorical theory that explains the “Goldilocks rule?”

A3 Allen: S.I. Hayakawa’s ladder of abstraction illustrates how concepts may be defined along a range of options from very general ways (rung at the ladder’s top) to very specific concretizations of those ways. For example, one might assert wealth at the top of the ladder, followed in a descending order by agrarian wealth, followed by livestock, followed by cattle, followed by Bertrand, Farmer Francesca’s beloved bovine. Getting the level just right—finding the right rung of the ladder guides a decision that is neither too broad nor too constricted.

Q4 Edwards: What are the artistic proofs in the case?

A4 Allen: The ethotic dimensions of what it means to identify as an artist with the concomitant creative license of art versus what it means to identify as a member of a community protected by law to be a recipient of equal treatment and dignity.

Q5 Edwards: How do definitions shape the case logic?

A5 Allen: Many of the Justice’s questions during Oral Argument discuss the meaning of artistry and try to delineate the categories and examples of professions that might be viewed as artistic. This discussion ranges from cake bakers to floral arrangers to invitation crafters to haberdashers to hair stylists.

Q6 Edwards: What are the tyrannizing images in the case?

A6 Allen: Marriage—the institution and iconic image of matrimony and the ideal of civil rights, emphasizing equal treatment under the law.

Q7 What is Justice Kagan’s framework for case analysis?

A7 Allen: In Oyez, Justice Kagan notes three axis points: (1) the axis of designer or artist, (2) the axis of demographer plotting demographic variables and (3) the axis of occasion and the



special features of this context as exemplified in nuptial nexus. Viewing the case through one of these prisms orients the way in which the variables are prioritized.

### **Interview with a Journalistic Analyst.**

Q1 ALLEN: Generally, how did the media cover the decision in *Masterpiece Cake Shop v Colorado Civil Rights Commission*?

A1 EDWARDS: Generally, all media covered the decision through four main frames: 1) simply reporting the outcome of the decision and the legal reasons behind it. This included statements quoted from the main opinion, the concurrences and the dissent. For example, an article by Richard Wolf in *USA Today* said: “A divided Supreme Court on Monday absolved a Colorado baker of discrimination for refusing to create a custom wedding cake for a same-sex couple, ruling that the state exhibited ‘religious hostility’ against him.” Similarly, KMGH television in Denver reported that “The U.S. Supreme Court on Monday ruled in favor of a Colorado baker who refused to bake a cake for a same-sex wedding but refrained from deciding on the larger issue of whether a business owner can choose not to serve gay customers”; 2) the potential effect of the decision on the LGBTQ community. Most of that coverage consisted of quotes from officials of national LGBTQ organizations or from the couple involved. For example, the *Denver Post* quoted Charlie Craig, one of the plaintiffs in the case, saying: “Throughout this journey we have met so many people in various contexts who have been discriminated against and we all have stood up as a community and, I think, really raise public awareness and kind of change some minds here and there. It’s been worth it.” In Fitzsimmons’ NBC article, he reported that gay rights groups were disappointed at the Court’s ruling but relieved that the ruling only applied to this single case; 3) the potential legal implications of the decision on future cases of a similar nature. For instance, Adam Liptak in the *New York Times* pointed out that “the Court passed on an opportunity to either bolster the right to same-sex marriage or explain how far the government can go in regulating businesses run on religious principles.” The coverage commonly noted a similar case brought by a Washington flower shop whose owner refused to arrange flowers for a same sex event, citing similar justifications. The Court ultimately refused to hear that case, but there are other cases in the pipeline that might be affected by this decision; and 4) quotes from case participants such as cake shop owner Jack Phillips, the two petitioners, and their law firms. For instance, a KUSA television story in Denver carried a quote from Phillips’ attorney: “Government hostility toward people of faith has no place in our society, yet the state of Colorado was openly antagonistic toward Jack’s religious beliefs about marriage. The court was right to condemn that” said Kristen Waggoner, the Alliance Defending Freedom senior counsel who argued Phillips’ case.” Mark Matthews’ *Denver Post* article reported the reaction from the American Civil Liberties Union: “‘The baker may have won the battle but it lost the war,’ said James Esseks, the director of the ACLU’s LGBT & AIDS Project. ‘The bakery got a get-out-of-jail-free card because of what the court thought of as misbehavior by the Civil Rights Commission, but that doesn’t mean they get to discriminate in the future. Not at all.’” Verbiage indicating these frames were in most stories, though not every frame was in all stories. To no one’s surprise the newspapers tended to provide

more in-depth coverage, publishing several stories on June 4, 2018, the day the decision was announced. In all cases there was a main story that dealt with the facts of the decision, along with information about at least one of the other frames. Then some newspapers ran supplemental stories that examined one of the frames. Television networks and stations tended to run one story that contained multiple frames. One exception was NBC, which ran three stories. One, by Steve Benen, examined the main facts of the decision whereas the others examined individual frames.

Q2 ALLEN: Was there a difference between the number of paragraphs each of the media outlets devoted to each of the four categories?

A2 EDWARDS: Yes. Actually there was considerable difference. At least 50 percent of the paragraphs fell into the report about the decision category. That was true across all platforms. That was followed by the participant reactions category and the legal implications category. The effect on the LGBTQ category was behind the other three by a large margin. One exception was in stories that examined precisely that issue, such as one written by Tim Fitzsimmons and carried by NBC and two opinion pieces by law professor Barry P. McDonald and Becket Fund lawyer Eric Rassbach in *USA Today*.

Q3 ALLEN: Was there a difference between how the Denver media covered the decision and how the national media did so?

A3 EDWARDS: Yes, the Denver media tended to devote more time and space to the story overall, but the differences were not huge. Overall, Denver media devoted 141 paragraphs to the story that first day, while the national networks devoted 126 paragraphs. The national newspapers devoted 129 paragraphs and the Associated Press devoted 23 paragraphs. The Denver media also devoted more paragraphs to participant reaction. That is probably not surprising, given that both the petitioner and the respondent were located in the Denver metropolitan area. National newspapers devoted significantly less space to participants' reactions. The national networks devoted less time to participants than the Denver media but far more than the national newspapers.

Q4 ALLEN: Was there a difference between how the Denver television stations and National Networks covered the decision?

A4 EDWARDS: There were some differences but not really that many...meaning the percentage differences weren't that great. For instance, Denver television stations devoted about 55 percent of their paragraphs to the reporting about the decision category. National networks devoted about 51 percent of their paragraphs to that category. That represents a difference, to be sure, but not a huge one. The number of paragraphs devoted to the effect on the LGBTQ category was about the same for both. The main difference between the Denver television stations and the national network was in the number of paragraphs devoted to the other two categories. Denver television stations devoted more time to talking to participants and less time discussing the legal implications of the decision. The national television networks were just the opposite, spending far more time discussing the legal ramifications and less time talking to participants.

Q5 ALLEN: Was there a difference in how the *Denver Post* and national newspapers covered the decision?

A5 EDWARDS: Yes, and the category breakdown was roughly similar to the television trend. *The Denver Post* spent the majority of its space reporting about the decision itself. The national newspapers did likewise. The *Post* devoted no paragraphs on June 4<sup>th</sup> to discussing the impact of the decision on the LGBTQ community, but national newspapers did little better. As with the dichotomy between the local and national television organizations, the *Post* devoted 19 percent of their paragraphs to the legal implications of the decision, while the national print media devoted 38 percent, or more than a third, of their paragraphs to this frame. Conversely, the national papers devoted only 10 percent of their paragraphs to participant interviews and reactions while the *Post* devoted nearly 35 percent, or nearly three times as much. Interestingly, *USA Today* devoted only two paragraphs to participant interviews or reaction. Instead, it devoted the majority of its coverage to the legal implications of the decision.

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## **Adventures in Modern Rhetoric**

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“If you do not take an interest in the affairs of your government, then you are doomed to live under the rule of fools.”  
- Plato

### **Introduction**

A society can be defined as a collection of people working together for the advancement of all. This harmonious view of society permits issues and dilemmas to be collectively addressed through examination of problems and finding solutions to be derived from a desire to uphold the common good. In such an environment of positive discourse, the application of Aristotelian rhetoric (based on ethos, pathos, and logos) would transcend social difference to permit the greater good to win out. This is not society in the twenty-first century. Instead, society today is divided into uncompromising tribes where agreement on basic supported data is open to being disputed and argued passionately. Use of Aristotelian logic is drowned by a choir of distrust, anger, and fear of the politicized social other. The demagoguery within the system as paralyzed the search for the common ground and good.

Modern demagoguery is not the death of Aristotelian rhetoric, but it does require that the application of such rhetoric includes social symbols that bridge the perceived differences in society. It is the premise of this paper that use of social symbols to anchor rhetorical arguments overcomes the demagogic tribalism within modern society. This approach re-establishes ethos that has been drowned out by tribal fear and emotion. Application of a symbolic anchor allows rhetoric to weather the demagogic storm that pulls society apart and for the search of common ground to begin. To test this hypothesis a quantitative experiment is proposed utilizing supported and unsupported Aristotelian rhetoric and persuasiveness within social groups.

### **Literature Review**

The exploration of the application and use of anchoring symbols within rhetoric begins with understanding three basic social components. First, there needs to be an understanding of varying views of rhetoric, primarily those of Plato and Aristotle. A review of the psychological social factors is the next category of analysis. Finally, the symbolic convergence theory should be reviewed and social impact understood. Literature that addresses these three components will create the basis for the application of symbolic anchoring in social discourse.

### **Rhetorical Views**

To begin to understand rhetoric Aristotle’s approach is the appropriate foundation of which to build. Aristotle established that persuasion is based on the application of ethos or character of the speaker, logos which is the logic of the argument, and pathos the emotional impact of an argument (Rapp, Wagner, 2013). When utilized properly these three elements create a thought-provoking argument which allows deliberative thought and solutions to problems.

Rapp and Wagner in their article “On Some Aristotelian Sources of Modern Argumentation Theory” (2013) discuss the issue of ethos within persuasion. In the article, they conclude that “if

the speaker appears to lack goodwill for the audience and seems to display subtle hostility or arrogance, the readiness to adopt his views will completely disappear.” As one of the foundations of persuasion, an argument will fail without ethos. Aristotle identified this and warned against the danger common fallacies present to persuasion.

This aspect of ethos is important when reviewing modern media, rhetoric, and persuasion. In modern discourse, argumentation often begins with alienating the speaker from the audience to make them appear hostile or arrogant. This can be done in an introduction during a news broadcast or the opening statements of a debate. The feeling of hostility created is a form of pathos used against the speaker. “If the hearers happen to be in an emotional state that prevents their minds from forming clear thoughts, they will presumably not even be able to follow the speaker’s train of thought” (Rapp, Wagner, 2013).

Now the speaker must attempt to persuade without ethos, pathos, and utilizing logic the audience is resistant to or unable to comprehend due to emotions. Being influential using Aristotelian’s rhetoric in such situations, without two of three pillars of persuasion, is nearly impossible. This is important to consider when discussing how to be persuasive in modern society.

In the article “Has Deliberative Democracy Abandoned Mass Democracy?” (Chambers, 2009) the views of Plato and Aristotle are examined and contrasted. Plato asserted that persuasion of the public depended upon power over truth and that political power was derived from manipulation of the masses not persuasive arguments. While Aristotle argued that rhetoric championed truth and justice. For him a person’s “capacity for practical judgment ...ought to spark active reasoning and thoughtfulness rather than unreflective triggers or gut reactions” (p.331).

In the pursuit of Aristotle’s deliberative rhetoric, modern democracy as created fractured societies made up of mini-publics (Chambers, 2009). Within these mini-publics, it is thought deliberative rhetoric exists and that Aristotle’s belief in truth and justice could still be sought. The problem within these mini-publics is that they are not made of random or geological groupings, instead, they are constructed based on shared ideologies and common interests. These mini-publics are what are commonly called echo-chambers where individuals do not seek enlightenment but affirmation for already held beliefs.

Returning to Plato’s “power over truth” argument these mini-societies create an interesting social manifestation. As Plato argued that “public policy require political power and because political power is acquired through popular support, the democratic politician will always try to convince the most people he can” (Chambers, 2009). In a society constructed of mini-publics, a politician cannot rise to power through such a limited power base. To rise to political power requires linking multiple mini-publics to become a political force within a democratic society.

How a political power base is created from multiple mini-publics is an important consideration. In the article, it argued that this is accomplished by priming strategies (identifying issues to emphasize in discourse) using public opinion polls so that politicians can tell the public what they want to hear, rather than forming a persuasive argument to provoke thought (Chambers, 2009). What these polls are doing is identifying social symbols that transverse multiple mini-publics to create a base of power for persuasion. The fact that social symbols, such as liberal or conservative, are successfully utilized in society to link mini-publics is important when

considering how to generate deliberative rhetoric. Deliberative rhetoric is on which creates a dynamic relationship between speaker and hearer with active reasoning and thoughtfulness (Chambers, 2009).

In the public sphere constructed of mini-publics, a speaker can be deprived of ethos based on affiliation with social symbols. However, finding the social symbols that link multiple mini-publics together can re-establish ethos within a group and empowering the rhetorical process of Aristotle. The methods being used to polarize the public can also then be utilized to unite and encourage deliberative rhetoric.

To consider rhetoric in modern society includes exploring rhetoric in a democracy. In the journal article “Rhetoric in Democracy: A Systemic Appreciation” attention is again brought back to the division between Plato and Aristotle and how rhetoric can be an obstacle to a Platonic commitment to “truth-seeking” (Dryzek, 2010). Dryzek identifies how within democratic societies people can be systematically deceived through the Aristotelian Rhetoric. He also positively identifies in the article is that such methodical deception can be penetrated through humor, metaphors, and emotional expressions that connect the speaker with the audience. Dryzek identifies the hazard but promotes modifying delivery to overcome it.

Additionally, Dryzek asks the reader to consider two forms of rhetoric in democratic societies. These forms are bonding and bridging. Bonding rhetoric is about the creation of groups that share similar ideologies and beliefs. This form creates outgroups, which can create tears in the fabric of the democratic structure. Bridging rhetoric, on the other hand, is about finding compatibility in discourse between two sides and using that to promote unity. Dryzek does conclude that there is a place for both bonding and bridging rhetoric in a democratic society, but sole reliance on bonding rhetoric is unhealthy for social structure.

### **Psychological-Social Factors**

Having reflected on the interpretations of Plato and Aristotle’s thoughts on rhetoric in democracies, next an examination of psychology and social factors is important. This includes how the mind processes information contained within persuasion, the social factors in persuasion, and the function of psychology in modern rhetoric. To properly shape and study modern rhetoric these psych-social considerations need to be reviewed.

The human mind is a wondrous thing, it holds the key to who we are and how we perceive the world around us. What happens when the brain is unable to make sense of sensory information or the body responds to a non-existent threat? In the article “Fear, Paranoia, and Politics” (Vanier, 2010) the author explores the brain’s response to the body’s fear response. Anxiety is the body and brain’s response to fear, or “anxiety is thus a fear of fear, fear of something which escapes understanding and knowledge- fear of the enigmatic jouissance” (Vanier, 2010). Oddly, in response to fear induced anxiety the brain focuses the anxiety outward in the form of a phobia. By attributing anxiety to a phobia, or inducing paranoia, the brain gives structure into an unstructured mental and physical sensation of fear.

This is a form of treating fear with fear, and as a long history within civilization. In society, it is the paranoia of outsiders who threaten a group’s unity, a horde at the gates, an imaginary foe who justifies society’s undefined anxiety (Vanier, 2010). In social communication, this creates

the pathos felt when faced with arguments that are foreign or not aligned with personal beliefs. In this way, the brain is enemy of logic and examination of issues within society.

Socially, this aspect of anxiety and paranoia in persuasion is an important element in group formation and maintenance. “Brainwashing Paranoia and Lay Media Theories in China; The Phenomenological Dimension of Media Use (and the Self) in Digital Environments” by Wu provides a detailed use of paranoia in society. This article goes beyond the personal paranoia generated by anxiety to a broader “media effects schema” (Wu, 2018). This is the “phenomenological reality (which) entails numerous forms of experience and interpretation that potentially shape her media use. A feeling of connectedness with an imagined peer community may lead a user to rely on certain niche content online” (Wu, 2018).

This is an important continuation of the brain’s response to paranoia and it is to find a community to belong in. Once within this community the person no longer perceives media as a threat from within the group, viewpoints are validated, and the threat then becomes outside media. What is unique is that persuasion, in the form of media, can still be viewed as negative and influential to “others, such as children, clients, peers, or society in general, but not themselves” (Wu, 2018). What is important here within the community the persuasive logic from outside the community is automatically fraudulent, a trick or an attack on the community. Again one of Aristotle’s pillars, that of logos, is torn down through the psycho-social process within civilization.

The mind’s response and the elements of community both serve to as a guided examination of demagogic rhetoric within political discourse. David Livingstone-Smith’s article “How Trump sells salvation: His lie-laden pitch is reminiscent of some of history’s most horrifying leaders” takes a look at how a demagogue pursues Plato’s political power over truth. Again the psycho-social elements already discussed are present in order to influence others and immunize groups, mini-publics, from traditional persuasive rhetoric.

Initially, a demagogue desires to bring down an audience through the introduction of fear to generate anxiety. Once the audience is experiencing fear the demagogue then generates paranoia which can be directed towards an outside group. Both of these follow along psycho-social elements we have spoken about. Finally, once a community has been forged in fear and paranoia the demagogue, repeats the “cycle between depression and paranoia a few times before finally offering a grandiose solution” (Livingstone-Smith, 2016).

Reviewing the psychological and social aspects of persuasion in modern society it would seem that Aristotle’s pillars of rhetoric are crumbling. Persuasion is now more commonly related to the community rather than an examination of information and logic. However, this view is based on an examination of the overall public. If one examines Chamber’s “mini-publics” Aristotelian rhetoric is still the basis of persuasion. To generate Plato’s political power and search for truth within a society requires using symbols to join these “mini-publics” through symbolic images.

## **Social Symbols**

Understanding how symbolic images bring society together can be done through Bormann’s symbolic convergence theory. To summarize the theory, within groups the process of communication creates shared fantasies and symbols which become common frames of reference

that bond the group (Zanin, Hoelscher, and Kramer, 2016). This theory becomes important in the process of introduction, forming, and maintaining groups.

The journal article “Extending Symbolic Convergence Theory: A Shared Identity Perspective of a Team’s Culture” (Zanin, Hoelscher, and Kramer, 2016) examines several important aspects of the theory in relation to groups. One of those discussed is fantasy chaining where multiple group members communicate similar dramatizing messages creating unity. This is used in socializing and developing a group’s distinctive identity. Understanding a group’s socializing fantasy themes is an important part of the indoctrination. For an outsider to communicate with the group identifying and understanding these symbols will lessen the apprehension and fear individuals within the group may experience. This will also increase the speaker’s ethos within the group.

Not only does the symbolic convergence theory address aspects of forming a group, but it also explains how out-groups are formed. Shared fantasies can include dramatic stories of threats the group faced or faces from outside of the group. These perceived threats contribute to prejudices that threaten rhetoric based on fear and is discussed in the journal article “Prejudice Against International Students: The Role Threat Perceptions and Authoritarian Dispositions in U.S. Students” by Charles-Toussaint and Crowson (2010). The authors found prejudice can be the result of the perceived symbolic threat or a “threat to the values, beliefs, and culture.” This correlates to pathos, strong emotions, in Aristotelian Rhetoric.

To address strong emotions and fear the key is to remove the perception of a threat. Shared social symbols is an effective way to do this. Finding a complementary fantasy theme allows the development of a bond from outside of the group, similar to how groups indoctrinate new members. While the vision of the symbol may not be identical it maintains symbolic importance. Endres points out that multiple visions do not necessarily compete “but instead complemented each other by emphasizing different but pertinent issues within the organization’s symbolic reality” (Endres, 1994). Complementing rhetorical visions can be beneficial in defusing emotions and restoring pathos within rhetoric.

What we have found through the literature review is how Plato felt Aristotle’s approach to rhetoric lacked the realism of the democratic process with power being the key element and not the search for truth. It became clear how the brain interprets fear, anxiety, and creates paranoia. This strong emotional response is then utilized socially to gain power, and disrupt the communication from outside sources. Finally, in the review we find out symbols can transcend both argument and paranoia and re-establish the pillars of Aristotelian rhetoric.

Identification of group fantasies within the symbolic convergence theory is imperative in developing symbolic anchors to permit discussion between groups. Understanding the bonding rhetoric within a group is a function of audience analysis. Once the important symbolic artifacts are understood it is possible to establish Aristotle’s pillars of rhetoric in the persuasion of the group. Audience analysis methods and approaches can be found in varied areas of study from business to writing.

Lam and Hannah’s 2016 work “Flipping the Audience Script: An Activity that Integrates Research and Audience Analysis” provides a business approach to analysis in the social media age. Their activity includes analysis “to address audience values, needs, and attributes” (Lam,



Hannah, 2016). Initially, the process includes the identification of a relevant sample. What are the meaning fantasy's a group shares in bonding rhetoric? This can be done through data collection, such as social media "tweets" or shares, or by observation. If a symbol is reappearing in bonding rhetoric it is meaningful.

After identifying the relevant sample and collecting data, next analysis the data (Lam, Hannah, 2016). Is the symbol being used as a positive enforcer bonding the group or is it exclusionary symbol used to create an outgroup? This is important on how a symbol can be later used as a social anchor or in bridging rhetoric. Exclusionary symbols should be avoided as they create prejudice and in the end, don't promote a healthy society. Instead, identify similar complementary symbols shared by the groups which promote social unity.

Flexibility is a key characteristic in audience analysis. "General guidelines might be helpful, but reports that meet the specific needs and characteristics of defined audiences require the definition of the audience and their characteristics" (Zapata-Rivera, Katz, 2014). Within groups symbols are fluid and the interruption of them may change over time. What is a bonding symbol can become an exclusionary symbol based on use and experiences within the group. For this reason, audience analysis is an ongoing process to maintain anchoring symbols and promote bridging rhetoric.

Having identified what is important to be communicated by the group. The next important step is to analyze one's own communication. This is a form of self-reflection and regulation (Wise, 2018). Through the process one's communication patterns become clear, shared communicative symbols can be identified, and offensive symbols eliminated. In research by Alyssa Friend Wise she concluded that "instead of seeding conflicting viewpoints into a task, an alternative approach could be to give learners the opportunity to discover potential conflicts themselves."

The environment which the communication is to be conducted is a consideration as well. When speaking across group divisions it should be understood that a politicized environment reduces both message acceptance and the audience's attention (Lupia, 2013). Lupia says that no "communicator is immune from the fact that attention capacity limits cause individuals to almost everything that any (speaker) ever says to them or the fact that listeners evaluate a speaker's credibility in particular ways" (2013). For this reason, it is important in an environment resistant to the speaker that anchoring symbols are utilized throughout the communicative cycle. This will help increase the audience attention and deliberative capacity.

"If we take the time to make presentations that produce relevant and credible new memories for our audiences, we can help them to replace false beliefs with knowledge that scientists have evaluated and validated. Our claims can be memorable and persuasive while staying true to the science that we have discovered." Lupia, 2013

A good evaluation of both the audience and one's own communicative symbols leads to the formulation of what symbols should be utilized in communication. Kwok, Wright,& Kashima determined that symbols used in stereotypes have the greatest effect on communicative symbols. To achieve acceptance of a message construction should include the process of selecting symbols to be used. "By including or withholding positive or negative information about an in-group or an outgroup" communication can be achieved (Kwok, Wright,& Kashima, 2007).

## **Hypothesis**

Through a review of relevant literature and research, a clear hypothesis becomes apparent. That hypothesis is “the use of anchoring social symbols in rhetoric increases a speaker’s persuasiveness.” Anchoring social symbols is defined as communicative symbols that are shared within a society that have positive meaning regardless of group affiliation. Social symbols would be the independent variable modifying persuasiveness of argument. From this hypothesis, a study proposal can be formed and advanced.

## **Pilot Study**

During November of 2018, a small pilot study was conducted to identify potential problems and better define the study proposal. A total of 23 university students took part in a pre-test, brief presentation, and post-test on the subject of vegan diets. While statically the study was not conclusive, the process did identify areas to improve and focus on during future studies. These areas of focus will be discussed in the proposed methodology section of the proposal.

## **Methodology**

### **Participants**

The participants for the study should identify with a social group which creates a clear in-group and out-group. Group dynamics are important in developing an understanding of the communicative nature of symbols within the group. In the pilot, study time was not dedicated to identifying group(s) alliances, which prevented categorization of symbols and their importance to the group.

Having identified participants as members of a social group it becomes important to determine what subject of rhetoric is important to the group. If a group’s disposition to a subject is neutral it is not a valid subject of study. In the pilot study, the topic of veganism was not of significant importance to the participants. This was demonstrated by the comparison group, who received no presentation on diet, having the widest swing between the pre-test and post-test.

To summarize participants for the study need to;

1. Identify with a social group, this can be done by utilizing contingency questions during screening for participants.
2. The group should be in opposition to an identified outgroup but share some positive social symbols. Content analysis of group communication should help in identifying terms.
3. Within the group, there needs to be rhetoric that breaks down traditional Aristotelian approach to persuasion.

With these factors in place, a proper group of participants should be able to be identified based on the attributes of individuals. The participant pool should be significant enough to validate the results and representative of the social group, at least 50 to 100 participants.

## **Instruments**

To test the hypothesis an experimental study would be the best instrument. In the creation of the experiment, there should be an experimental and control group. Participants will take part in a pre-test and post-test to identify the effectiveness of the symbolism used. The test questions will be determined through group content analysis. There should be a significant number of questions to establish variation of attitude from pre to post-test. Questions will be close-ended and participants will rank their responses on a scale.

The environment is an important consideration in setting up the experiment as part of group function is identity. Isolating a participant from their group could result on outside variable influencing results. The group dynamic should be maintained.

## **Procedures**

Having selected participants from a representative group, and ensuring maintaining group dynamics, participants will take the pretest. The test will be on a subject determined that the group holds negative strong opinions about. A short period, or break, will follow the pretest so that group can re-enforce group member judgments on the topic.

Following the break, the group will be given a presentation on the topic. Communication symbols that have been determined positive or negative to the group will be utilized in the presentation. The positive symbols, or anchoring symbols, will be used in an attempt to establish bridging rhetoric and Aristotelian persuasion in the experimental group. The control group will likewise receive bridging rhetoric but with the use of negative social symbols.

To prevent unforeseen individual bias the presenter for both presentations will be the same. The presenter will also be impartial towards the approach to avoid the development of a self-fulfilling prophecy or attempt to influence the results. Both presentations, for the control and experimental group, will be the same duration. Upon completion of the presentation, the participants will immediately take the post-test. The reason for this is to avoid group dynamics from influencing the individual participant's responses.

## **Evaluation of Results**

The pre-test and post-test will be scored and compared between the experimental and control group. The validity of each question will be determined, invalidated questions will be removed from scoring. Results will then be applied to determine the effects of the anchoring symbol on persuasion.

## **Conclusion**

Social groupings and alliances have removed deliberative rhetoric from discourse in society. The pillars of Aristotelian Rhetoric fall away in such an environment and tribalism becomes the social norm. To restore the pillars, bridging rhetoric using anchoring symbols could positively impact discourse. If the hypothesis that "the use of anchoring social symbols in rhetoric increases a speaker's persuasiveness" is demonstrated valid it would provide a tool to be used in restarting discourse on a topic important to the health of society.

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## **Adventuring, Exploring, Journeying: Different Images. Different Undertakings, Different Possibilities**

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What do I not like about the concept/undertaking/reading stories of adventuring? Are adventuring, exploring, and journeying different undertakings? The first of these is the orienting question for this investigation and the second is the potentially resonant question that emerges out of this investigation. The orienting question came into focus when this year's SASSI theme was announced and more specifically when the thematic image of adventure was rooted in the 300<sup>th</sup> anniversary of the publication of Daniel Defoe's novel *Robinson Crusoe*. As I pondered participation in this year's conference, my initial feeling was one I have often had about how much I am not enthralled with reading/listening to/watching movie versions of tales of adventure? I've never known exactly why this is, but even though I have a friend with whom one of the primary consistent things we do is see action-adventure movies together, there is always this nagging feeling of adventure as somewhat bothersome.

One part of this orientation may be rooted in my own lived experience. I travel extensively, and there is a definite mismatch between what it is that I do when I travel and what I have experienced as represented in depictions of adventuring. In connecting adventuring and my own traveling, I can think of only a handful of adventure stories I have to tell. One of these is from a canoe trip to the Boundary Waters in Minnesota and the intensely crazy almost goofiness involved in making it through a very close and nasty thunderstorm. The second is from a road trip that crisscrossed large swaths of California which "bottomed-out" when the car battery died at Badwater in Death Valley National Park and the series of steps it took to get out of that situation. The final is probably the most classic and involved summiting Colorado's high point, Mt. Elbert, and managing to take a different route back down the mountain. The series of events that ensued are well and truly a tale. As I write this, I can think of a few more scenarios that I would include on this list. Yet, while there are adventure stories I can provide, telling these stories is most definitely not a way to capture what my travelling is.

### **The Robinsonade and Adventuring**

To dig into adventuring, I made a quick inquiry into *Robinson Crusoe* and the ensuing Robinsonade genre. Not by way of a rhetorical or literary critique, but to quickly summarize the key thing I learned via this inquiry is that there are "Robina Crusoes." In a critical review of the 18<sup>th</sup> century female heroines in German Robinsonades an arc from women as self-generators of egalitarian societies to passive recipients of rescue is seen (Blackwell). Though these female adventurers most often appear as cross-dressers rather than being representative of the actual women who were seafarers during this time, there are intriguing differences between the stories of

these female adventurers and their male counterparts. In these female-centered Robinsonades, women set out on an adventure and also end up on islands, but they do not spend years in isolation: rather, they find other women and build cooperative societies containing egalitarian friendships and communal living and including a wide variety of entertainments including music, storytelling, and cooking special meals such as for island anniversaries. They still do land-based work, but their endeavors are much more about mastering social and emotional territory rather than their physical geography.

The question that often is answered somewhat awkwardly in these Robinsonades is why do the women choose to leave the islands and their highly functional self-generated societies? Sometimes men arrive and the society turns into a much more traditional hierarchical society with sexually-based divisions of labor where the women collaborate in their own oppression. Interestingly these stories often do not end with a marriage of a woman and her rescuer. Instead, they end with the woman rejoined with her previous connections in Europe but with replenished reputations and finances. These narratives seem to evidence a value on orderly society with rich financial rewards along with friendships and harmony. Back in Europe, the one-time female adventurer becomes a well behaved 18<sup>th</sup> century heroine fantasizing about freedom but accepting male rescue and material reward. Such is the German Robinsonade image for the ideal behavior for the 18<sup>th</sup> century bourgeois woman, deftly overlooking her capacity for self-generating egalitarian society.

Moving to the 19<sup>th</sup> century and English Robinsonades either written by or featuring female characters, two significant literary contributions are found: moving the domestic from the margins to the center of concerns and providing images of women who retain the feminine while showing the intellectual abilities and physical capabilities of men (Fair). In Agnes Strickland's Robinsonade, class conflict plays out showing that the upper class can ward off the uprisings of the working class while also showing that the upper class protagonist, Lord Robert Summers, could not accomplish what he does or in fact even survive without the household and nurturing skills of the lower class counterpart Phillip Harley (1836). In this work, the domestic skills of Harley are portrayed as essential to the survival of both men (Fair). In Ann Fraser Tytler's *Leila; or The Island*, a detailed depiction of domestic life is portrayed thorough the central character of Nurse, who cares for the young Leila. Nurse's identity is shown not through individual personality traits, but rather through her function and position. At one point, Nurse admits how much she misses having someone around with whom she could talk as an equal (leaving unstated how consistently she talks as a subordinate by necessity). The domestic work of the underclass is shown as absolutely essential in both of these works.

The second of these literary contributions is seen in Elizabeth Whittaker's serial *Robina Crusoe and Her Lonely Island Home* which contains many of the elements of Defoe's original Robinson narrative including the necessity of engaging in deadly battle with native "savages." In

portraying such, Whittaker's Robina shows traditionally male mastery of military technique yet also shows her maternal instinct when she has to rescue a native women's child and finds herself drawn to nurture the child. Working within the imperial model, Robina exemplifies conventionally defined feminine and masculine strengths to show that the maternal domestic ideal can be achieved by a strong, capable, and independent woman. While over time Whittaker's Robina establishes a stable and thriving imperial society, L. T. Meade's Isabel Fraser contrasts somewhat with both Whittaker's Robina and Tytler's Leila. As Hicks highlights, in Isabel there is an image of the female that pursues both domesticity and adventure (2015). Being between 12 and 13, it is Isabel who needs to establish the society the elder Nurse and Mr. Howard built while Leila continued to be sheltered from such work. The importance of domesticity comes to the fore when the community that has been established can carry on and even nurse Isabel back to health due the safe household she had previously established for them (Fair). Though her society needs only to last three months, the possibility of a strong if even pre-adolescent woman using household virtues as a civilizing force is clearly portrayed in the character of Isabel Fraser. As Norica points out, Mead's characterization makes a case the women can actually exceed their male counterparts in the imperial project (p. 358).

These English Robinsonades lay out the highly viable model of English colonization. While the Spanish model of the sword and the cross, the conquistador and the padre, the presidio and the mission, left a significant architectural imprint on the new world (Fontana), the dual English model of military based social order and domestic civility has left deep impressions wherever it has been implemented. As the earlier German female Robinsonades show the necessity of women's collaboration in their own oppression through acceptance of male rescue and material reward in place of their capacity for societal self-generation, these English female Robinsonades show the need for the complicity of those, including women, who do the domestic work for the success of English colonial imperialism. Do women only colonize through their domestic work and skills, or do they also do so through building both masculine and feminine skills? Either way, these skills are always used in the service of the empire. As seen in the movie *Gandhi*, the colonized underclass can turn the tables on the equation (Muller 2015a). Yet, as seen in the portrayal of Isabel Fraser, age and gender do not necessarily hinder one from actively participating in colonizing societies. The question then becomes, what does it take for children or a child and women or a woman to participate in turning the tables rather than through complicity being a part of the empire?

One thing to do is to choose not to read Robinsonade adventures (or if read, make sure they are read in context with alternative kinds of narratives). As the market possibilities have expanded in the 20<sup>th</sup> century, books and toys have been brought together in combination to provide opportunities for girls to "play at" Crusoe (Hicks, 2014). As such, girls can learn even more possibilities for incorporating the masculine in their approaches to maternity. Generally speaking, Robinsonades that are aimed at children allow that there is a time for adventuring but that that time

comes to an end with a return to domesticity (Gregory). This emphasis is especially strong in children's female Robinsonades. Even though 20<sup>th</sup> century stories of female survivors in Robinsonades have somewhat expanded the palette of images of femininity, each of them elevates one image of femininity while denigrating others, primarily valuing a career vs. a homelife focus (Gregory). Still missing in these Robinsonades are the images of women as active choice-makers and going back the 18<sup>th</sup> century with one possibility being choosing to self-generate with other women cooperative societies with egalitarian friendships, communal living, and entertainment; or stated in a more 21<sup>st</sup> century open-ended fashion, as human beings who have the ever-present available choice of embracing one's creative agency and building a personal and a social life around that. I think I have found why I don't like adventuring. If adventuring is all about keeping the power structures that exist the same and expanding them to places where they do not exist, what travel images are there that provide alternatives to this mainstream, constrictive approach? These alternatives do exist and are investigated here through a PERPLE analysis of the travel images in three movies: *Boys on the Side*, *Mad Max Fury Road*, and *On the Basis of Sex*.

## Methodology

The methodology implemented in the paper is PERPLE or practically engaged reflection on the processing of lived experience (Muller 2015b, 2016, 2018). The PERPLE method is designed to make apparent the movement from a particular lived experience to a practical insight that is meaningful beyond the person who had the initial experience. Combining a set of scholarly perspectives allows for articulating and sharing with others the processing of a lived experience which, in a notable way, stands out as important to the researcher. The writing of the research report is an attempt to create thoughtful and informative resonance with the reader.

The method begins with identifying a moment that captures a lived experience. Dewey and relatedly Gadamer address how thinking is often set into action when a difficulty in sense-making is experienced. When something doesn't make sense, we think about it, and we think about it in particular ways. Grounded practical theory (Craig & Tracy) builds on this foundation and is an approach to theorizing that includes identifying the dilemmas or problems communicators involved in a shared social practice experience when talking together. All three approaches advocate that thought and action are not separate endeavors. Rather, theory (how we think/talk) and practice (how we act/experience) are reflexively linked, especially in times of difficulty in sense-making. Translating this idea to PERPLE identifies that practically engaged reflection on specified moments involves addressing both thought and action when articulating the processing of that moment.

This practically engaged reflection occurs in thought, conversation, and writing. For each project, the writing is somewhat different because the writing is an attempt to capture the movement of the researcher. As such the writing is rooted in autoethnography (Ellis and Bochner;



Denzin) and informed by analytic autoethnography (Anderson). Yet it is different because while it does share the impetus to “change the conditions under which lives are lived,” (Denzin 2014, xi) it does so in a different way than that which is hallmark in autoethnography. While in PERPLE I am exploring a part of my own lived experience, as one would in any autoethnographic project, the practical aspect of this method means that the endeavor does not emphasize meaning-making per se but rather the point is to share reflection on my processing in order to provide a depiction of a way to “do” something in both thought and action.

In creating impact on thought and action through writing, the writing incorporates invitational rhetoric (Foss and Griffin) where persuasion is not the goal of the writer as rhetor but rather perspectives are offered and presented in a way that invites the reader into considering them. One seeks neither agreement nor engaging in argumentation. Though there are characteristics akin to dialogue (Buber), what is presented does not allow the reader to “experience” the writer as other; rather, the aim is to open the possibility for a kind of attunement (Lipari) for the reader with what is presented. In writing, this means that use of the first person is mandatory at the times when I am talking about my actions, my thoughts.

Though PERPLE must include an initiating moment, the process can begin prior to this moment through the coming into focus of an orienting question. For at times a person can happen upon an initializing moment (Muller 2015b, 2016). However, in a world with deadlines and calls associated with conference opportunities, it can be beneficial to be open to questions that arise which begin to orient one to potential initiating moments (Muller 2018). In this current investigation, the orienting question arose when the call for SASSI 2019 was announced. The orienting question was identified in the opening paragraph: What do I not like about the concept/undertaking/reading stories of adventuring? This question has largely already been addressed and has led to the project of finding other travel-related social images. Through practical reflection on the processing of lived experience of the initializing moment, the resulting potential resonating question becomes what are the differences in images of adventuring, exploring, and journeying?

Following PERPLE, the remaining writing in this paper contextualizes the project through revisiting the orienting question and then follows the movement from an initiating moment through an analysis of the travel images in three different movies coming from three different genres. The movement through these movies is one where the move to the next movie originates in the analysis of the previous movie. The result of this movement is the identification of three related and yet distinct travel-related images: adventure, exploration, and journey. The final discussion addresses the relationship between images and practical implication stemming from this investigation.

### **Orienting Question Revisited**

The orienting question for this investigation is, what do I not like about the concept/undertaking/reading stories of adventuring? An initial answer to this question emerged through a quick investigation of the female in the Robinsonade genre, and this answer was that while these stories of adventure involve traveling out of one's homespace, they do not result in anything other than continuing to be a part of the social structure of which one has always been a part. While the characters in these adventure tales experience significant difficulty and have to undertake challenges previously unimagined, nothing new emerges out of the travels of the characters other than a set of stories about what it took to survive the travel. The travelers bring back nothing from their adventures that allow for any fundamental changes in themselves or their societies. They may be able to "do better" within their societies, but other than possibly improving their social conditions, the adventure seems to have been for the sake of the adventure.

What then is the image of adventure or adventuring? As seen in this investigation into the Robinsonade, adventure is about needing to make it through difficulty and challenge – to survive unexpected trauma. In looking at female Robinsonades, survival skills extend beyond mastering one's geographical environment and the potential "savages" that inhabit it to the domestic skills involving nursing, homemaking, and other forms of care-taking. It can even involve using societal skills that are not used in their original homelands, such as those of creating an egalitarian society, which sets up an opportunity to bring back change to their places of origin. However, the image of adventuring in these works is that rather than bringing these potential changes back home, they are abandoned. The image of adventuring in these female Robinsonades is of carrying forth one's home societal structure as the paramount undertaking regardless of the details of the difficulty, challenge, and trauma one encounters.

### **The Initiating Moment**

As I considered the orienting question, the moment that came to mind was watching the movie *Boys on the Side*. This movie came to mind because, although I did not have an explicitly clear memory of watching the movie, my general recollection was that it was a movie that had an element of travel and was trying to do something. I also remember having a mixed reaction to the movie and when I was building my initial movie collection, I chose not to purchase the movie, but I did purchase the cd which contained a wide range of female artists. My strong recollection was that it was a travel but not an adventure movie. What travel-related image was portrayed in this movie?

### **The Rewatch**

I rewatched this movie with a literary-oriented friend who had not previously watched the movie. As we debriefed the movie, we were struck by a few things. The first was that as two people who had lived through the 90's, the overarching sense was that the movie was all 90's especially in the bluntness and crudeness in the language relating to identity. Additionally, very

90's characters and interactions were represented including people dying of AIDS, sexually-infused lesbian-straight interaction, and white girls. However, the portrayals of these characters felt superficial to the point of feeling inaccurate. The second was that there were elements of adventuring where the three main characters (Jane, Robin, and Holly) had to make it through unexpected challenges. They had to make it through the encounter with Nick (Holly's boyfriend and father of her unborn child) in an especially violent state and his related death. They also had to make it through Robin's failing health and eventual death. Yet, overall, the movie did not feel like it was fundamentally depicting adventuring.

### **The Image of Exploring**

IF not adventuring, what then is the travel-related image depicted in this movie? The proposal here is that it is the image of exploration. While there is drama in this movie around making it through the difficult situations, the felt moments of drama revolve around interchanges between characters. Maybe the most powerful moment in the movie is when Jane and Robin are in Robin's hospital room when she is suffering through a time when her breathing has been potentially direly impacted by her failing immune system. At no time in the movie did Robin tell Jane (who did not know each other before Jane answered Robin's ad for a drive-mate to head west) that she has AIDS. Rather, a nurse tells Jane during Robin's first hospital stint, assuming that since Jane had accompanied Robin to the hospital that Jane already knew of Robin's condition. This nurse-Jane interchange is a moment of drama as Jane's understanding of the situation fundamentally changes. The next time we see Robin in the hospital, she is explaining to Jane what it feels like to be living with AIDS where the distance she feels between herself and others is like she is waving at them as they move past. Jane tells Robin that even though she is standing out of touch range, she is right there, holding her. This is another moment where through talk an understanding of the situation can be fundamentally altered.

Whereas the drama in adventuring is in will and then how will survival in challenging situations take place, the drama in exploration is will there be and what will transpire in the accessing of new information in moments of communication? Adventuring is working to achieve best-case scenarios and avoiding worst case scenarios. Exploring is engaging in ways where there is always the possibility that new understandings will emerge. In *Boys on the Side*, all three characters take the opportunity to explore and learn more about themselves. None of them change their lives much, but each of them settles into a kind of revised version of themselves. Robin dies from AIDS but has had at least some conversations with her mother and come to a richer understanding of her family history. Holly serves some jail time for her involvement in Nick's death, and then marries a very reliable man, a police officer as opposed to a drug dealer. Jane continues on to California (they had stopped in Arizona when Robin first had to go the hospital) to continue her music career. As a viewer, there was a bit of an unsettled feeling at the end of this movie because it seemed like there was so much more to explore, so much more new understanding

to gain and so much more that could have been done with new understanding. Just as action sequences can disappoint, resolutions of difficulty can disappoint and the depictions of life after survival can feel superficial and not fulfilling, so too can depictions of exploration.

Yet, when considered in context, this movie did present an image of exploring and at a time when, as portrayed in the movie, the talk around identity was almost brutal, it was an accomplishment to be open to exploration and to be able to hang onto oneself, even a self was not societally supported. To be able to hold onto one's identity, there needs to be exploring and to explore one needs to be open to moments of communication, growing understanding, and ideally actively doing something with that understanding. The portrayal of exploring in this movie lacked that active doing. The question now becomes is there a movie that shows such active engagement?

### **The Image of Journeying**

The movie that came to mind that might contain an image of active engagement of understanding but might also be an image of adventuring is the movie *Mad Max: Fury Road*. This movie I had seen with both my action-oriented friend and my literary-oriented friend. I had gotten a really good vibe off this movie and felt like it had a strong female aspect to it. My action-oriented friend didn't like this movie too much. I rewatched it with my literary-oriented friend.

There are definitely adventuring situations in this movie. Furiosa and the female riders on her war rig are continually in peril, pursued by those who aim to stop them and bring about the return of Immortan Joe's preferred breeders. The adventuring in this movie though is somewhat different from that in the Robinsonades. In both *Mad Max* and the Robinsonades there is a setting out, the choice is made to travel away from one's homespace. However, there is a difference in the "unexpected" which begins the adventuring. In the Robinsonades the characters wind up on islands where the adventuring is about surviving the unknown. In *Mad Max* the survival is in making it through and not being killed by the very much known, the warriors from one's own homeland. As well, the goal of the travel is different. In the Robinsonades that travel is designed to be out and back. However, in *Mad Max* the desired destination is out and away from the homespace, the travel is a potentially permanent escape. The goal of the travel on the war rig is to return to the homeplace from which Furiosa was taken as a child before becoming imprisoned in the citadel of Immortan Joe.

This notion of escape as well as the female leads in both *Boys on the Side* and *Mad Max: Fury Road* brings to mind the movie *Thelma and Louise* and makes relevant an important note on womens' travel. In a way similar to *Boys on the Side*, very early in the movie the characters are involved in a violent altercation where someone ends up dead. In *Thelma and Louise*, the travel is through the landscape of figuring out what to do about having been involved in a murder. The violent action perpetrated by Louise in killing Harlan as well as the entire travel away from the

scene occurs due to the lack of a co-system, where rather than working through her previous trauma via only the legal system Louise could have worked through this trauma additionally within an institutionally supported system focused on personally productive engagement, growth, and healing (Muller 2015a). In a society that values violence, much as seen in the Greek tragedy *Hecuba*, where Polyxena is seen as valorous for bravely accepting her death via burning at the stake as a blood sacrifice to Achilles in order for the Greeks to get enough wind to sail back to Hellas (Euripides), where woman do not have the option to gain valor through dying in war they can gain valor through accepting societally determined death. When the warrior is compromised and cannot attain victory, he can attain valor in death. When women are compromised or are seen to be compromised, they can accept the death determined for them by society. The movie *Thelma and Louise* provides an image of a different kind of female strength in rejecting rather than accepting their societally accepted fate of facing likely imprisonment. Rather, they choose their own fate, their own death, thus breaking the stranglehold of the society upon them. It is they rather than society that decide they should die. They show a kind of embracing of their creative agency to determine their own fate. This escape adventure does allow them to take a non-socially accepted trajectory in their life, but their decisions have no impact on the larger society in which they live other than for those who view the image and realize they can take non-socially accepted trajectories in their lives.

The tale of Furiosa and her companions could have followed a similar kind of escape travel trajectory. However, it did not. In part it does not because the image in this movie is not just adventuring. It also includes images of exploration. There are many moments in the movie where communication provides access to new understanding which leads to changes in the ways characters act in the movie. One example of this is when Capable (one of the breeder escapees) finds Nux (an attacker who seemingly has failed in his attempts to take down Furiosa) hiding in the rig and talks with him. After this conversation Nux becomes an ally with Furiosa and Max (who previously had been Nux's source of healthy blood but has escaped). No one had ever talked with Nux in the way Capable did, and in his openness to new understanding he is able to act in a different way. As he does so, the escaping team gains a new member with highly useful skills. Max, Furiosa, and Nux are able to explore their skill sets and continually adapt what they can do in continuing to escape their pursuers. Because the image in this movie is not just adventuring but also exploring, the possibility is always available that communication, new understanding, and new ways of acting are possible.

Yet, even with continually adding members and skill sets to the fleeing group, the trajectory could be as originally planned, as an escape. When the rig reaches the people (women) of the green place and Furiosa and her group are informed that the desolate mire and muck they had just passed is what has become of the former green place, a decision needs to be made as to what to do since the desired place of escape is no longer habitable. The initial decision is in keeping with the escape trajectory, and it is to get on the motor bikes and head into the unknown of the salt expanse,

hoping for enough water for begin growing the seeds salvaged from the green place. Yet, the exploring that had already begun opens up the possibility for a different decision to be made. This opportunity arises when Max comes to Furiosa and tells her the place of water is already known and it is back at the citadel from which they escaped. Again due to the communication that has taken place between Furiosa and the survivors from the green place, these woman climb aboard the war rig and everyone heads back from whence the war rig came.

While in adventuring, the adventurers are often rescued and taken back home. In this case, the going back home is of a fundamentally different kind. Furiosa, Max, and the others are not being taken back home, rather their endeavor becomes to take back their home. Unlike in the German Robinsonades when what was learned while adventuring was left behind in the return, in *Mad Max*, everything that was learned while on the road is taken home with the returners. Accordingly, a general plan is hatched for how they will attempt to persuade those remaining in servitude back at the citadel to accept their return. The plan does not come to fruition due to the death of a key character, but on the return trip they kill Immortan Joe. When they do reach the citadel, upon showing the people the head of Immortan Joe, the returners are cheered and welcomed.

What is the travel image in this movie? What is this combination of adventuring and exploring? The proposal here is that *Mad Max: Fury Road* provides a social image of journeying. The journey is an out and back. On the journey, the choice is made to head out from the homeplace and while there are assumed destinations, when a travel is a journey, the destinations are not the goal and home is something that is always under construction. The journey itself is the undertaking and it can continually be the undertaking because all those on the journey are always open to the potential traumas associated with adventuring, the communication and access to new understanding of exploring, and also the ever-present possibility of engaging in transformative action. To continue to journey and grow, adventuring is not enough, exploring is not enough, rather one must always be open to making societal changes when one encounters aspects of that society which restrict growth.

The reinforcement of the existing social order in the female Robinsonades was nowhere to be found in this movie. The dissatisfaction experienced in watching *Boys on the Side* was ameliorated in *Mad Max: Fury Road*. The narrow path of inescapability of the social order in *Thelma and Louise* was replaced by a different kind of narrow path. In this movie, the narrow path was not to take ownership of one's own decisions and actions (that was done at the very outset of this movie by Furiosa) but rather to continue on the journey wherever it went in order to make the changes needed to make a homeplace where growth is possible.

### **Images of Journeying in Depictions of Real Life**

While *Mad Max: Fury Road* provides an image of journeying in a fictional narrative, upon working through this movie, the next one that came to mind was one I had recently seen, *On the Basis of Sex*. At the time of this writing, I cannot rewatch this movie, so the few points I make about this movie are based on my single viewing. In *Mad Max*, the returners were welcomed because they showed the head of Immortan Joe. They could show the “citizens” of the citadel that the head of the current power structure had been eliminated. In the social structure of the citadel, Immortan Joe was the sole power source and so if things were to change, he was what needed to change. In American society, while there may be instances where changing a single individual would bring about a significant societal change, generally change takes place at a much slower pace. As such there are many ways and paths individuals can take who choose to be on a journey to bring about the kind of societal growth that eliminates restrictions on growth. Such a journey is seen in the portrayal of Ruth Bader Ginsburg in *On the Basis of Sex*.

The movie portrays how, within the current societal structure, there was no way for RBG to pursue a wide range of typical legal careers. Yet, through the communication between herself and those around her there is ongoing exploration of new understanding. Her husband communicates in ways that allow her daughter Jane to better understand her mother, and Jane communicates in ways that lead RBG to find new ways to think about issues associated with the key legal case in the movie. There was also adventuring in RBG being willing to head into unknown legal territory and through difficulty and challenges that would not have been necessary to maintain her family’s livelihood. When RBG’s husband Martin locates a case which seems to flip the discrimination script, a new phase of the journey begins. The possibility of a transformative moment emerges and adventuring and exploring continue as Martin and RBG engage with others and practice ways of presenting the case. When the time comes to take their arguments into the 10<sup>th</sup> Circuit Court of Appeals, they have a plan in place. Yet when the critical moment comes in the case, it takes place only because Martin and Ruth have moved out of the prepared plan. It had not been in the plan for Ruth to be speaking at this point in the case, and yet she is speaking when the judge says that women are not mentioned in the constitution, to which she replies neither is freedom.

Just as Furiosa, Max, and crew had found the key move to bring about societal change through the unplanned killing of Immortan Joe, RBG opens up the possibility of societal change through making a specific unplanned argument in this case. The case itself is an inversion because it is about discrimination against a man for doing work that is usually assumed to be done by a woman. The difference between this real-life story and the *Mad Max* movie is this turning point moment is not the end, it is rather the beginning. The inversion continues when opposing council Bozarth’s list of all the things that would change if this ruling went through becomes the basis of the ACLU’s Civil Rights Project. With the new precedent in place a strategic approach can be brought to the process of change by taking on every specific law based strictly on sex differentiations. In real life, to bring about societal change, there do need to be transformative

moments that can bring about inversion. For there to be substantial change, there needs to be a fundamental alteration in the relating between those that have and those that are kept from having. In real life, for those living a life of journeying, the undertaking never ends in working toward a society where growth for any and all is possible.

### **Practical Implications of Adventuring, Exploring, and Journeying**

The potentially resonating question in this PERPLE investigation is: are adventuring, exploring, and journeying different undertakings? This paper has laid out different images for these three undertakings as they are represented in the female Robinsonades, *Boys on the Side*, *Mad Max: Fury Road* and *On the Basis of Sex*. The practical implications of this investigation are that these different undertakings require different kinds of openness. Adventuring takes an openness to challenge, difficulty and even trauma. Exploring takes an openness to communication, accessing new information and a willingness to change how one acts based on new understanding. Journeying takes a willingness to engage in adventuring and exploring, but in addition takes an openness to working continually until one encounters moments where transformation and inversion are possible. When those moments arise there needs to be an additional willingness to go away from anything preplanned in order to open up the possibility of societal change. Finally, in real life, journeying requires a further willingness to work beyond the transformative moment in a steady and consistent fashion so that the societal change can become instantiated in ways that facilitate the opportunity for ongoing growth for oneself and for others in one's shared society.

Moving beyond the female Robinsonades in seeking images of women as travelers a few possibilities have emerged. Adventuring on its own is an undertaking that involves making one's way through situations but always acting in ways that reinforce your own societal structures. Exploring on its own is an undertaking where one engages in moments of communication which create the opportunity for access to new understanding which can become the foundation for acting in new ways. Journeying provides an image that in some ways goes back to the 18<sup>th</sup> century German Robinsonades where women self-generate with other women cooperative societies with egalitarian friendships, communal living, and entertainment. Adding in the image of women as active choice-makers who do not need to be bound by current societal structures and have options beyond escaping and owning their decisions, the image of journeying provides a foundation for a 21<sup>st</sup> century image of women as human beings who have the ever-present available choice of embracing one's creative agency and building a personal and a social life around that. As seen in the Greek tragedies, the values of society though historically lived in different ways by men and women impact everyone, and as seen in the image of journeying it will take active engagement by women in ways that do not reinforce existing restrictions if we are to pursue the possibility of building societies where facilitating growth for all members is a central value as well as practice.



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# **How Designers are Inspired by the Image of Adventure in Road Movies - the Driving Sequence in “Paris, Texas” (1984) as the Main Example –**

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## **Chapter 1. Introduction**

### *1.1. Background*

Recently, we perceive the place as imagery expressed in various media (painting, poet, photography, and movie). When we visit there, the memory of this perception will be remembered and we tend to compare directly between the imagery and the state of the place.

However, the artists who made these media did not think about only the imagery in the media. They had some abstract image of space in the place, and intentionally they cut off the actual state to the imagery. Therefore, there is some risk of misunderstanding if we only see the media.

On the other hand, when we architect design, we start from the fragmentary abstract images of space in the beginning of the process. After collecting these images of space, we unite them and return to the actual place as the works. This process is similar to the creating process of artists in having the image of space in the background. This paper focuses on this similarity. I selected the movies especially shoot in filming locations from various media because they will not affect the actual places directly even though they treat them.

### *1.2. Purpose*

The purpose of my research is to explore how designers such as architects and landscape architects are influenced by movies and the film production process, and also how designers reflect in real places with these influences. I will pay particular attention to things related to the image of space in the media.

### *1.3. Method and Structure of This Paper*

From a number of movies, I choose “Paris, Texas” (1984) by Wim Wenders. The reason is that the director and staff talked about the production process a lot and this film is very famous work of him because it won Palme d'Or at the Cannes Film Festival. Generally, directors do not accept interviews or make very short comment possibly for promoting, however, due to the fame the number of interviews with the director about this film is so large. In addition, the genre ‘Road Movie’ which this movie belongs to shows a lot of scenes in the landscapes.

I decided to arrange the analysis in three stages (chapter 2 to 4). First of all, the long sequence from the desert (the Big Bend National Park) to the city (L.A.) by car trip in the first half of this movie [0:01:13-0:37:27] is analyzed with interest in the response between the director and the places in the light of the interviews and comment by him. We attempt to find the effect of an abstract image of space. In the chapter 3, to examine the designer’s view from “Paris, Texas”

analysis, I researched about the image of actual designed space looking at the *Daisen-in* temple which is a sub-temple of *Daitoku-ji* temple in Kyoto and is one of the most famous and traditional Japanese garden surrounding a *Hojo* ( the Hall for the high priest, is separated into six rooms by paper sliding doors). This temple is authentic and universal Japanese historical architecture, so the full discussion was held about it. At this time, introducing the abstract image in the movie, I attempt to find the unprecedented perception. In chapter 4, I make a survey about these two kinds of relationship between the actual place and the image of space. This Paper will be concluded in chapter 5. In the end, I made a suggestion about tourism in filming location in chapter 6.

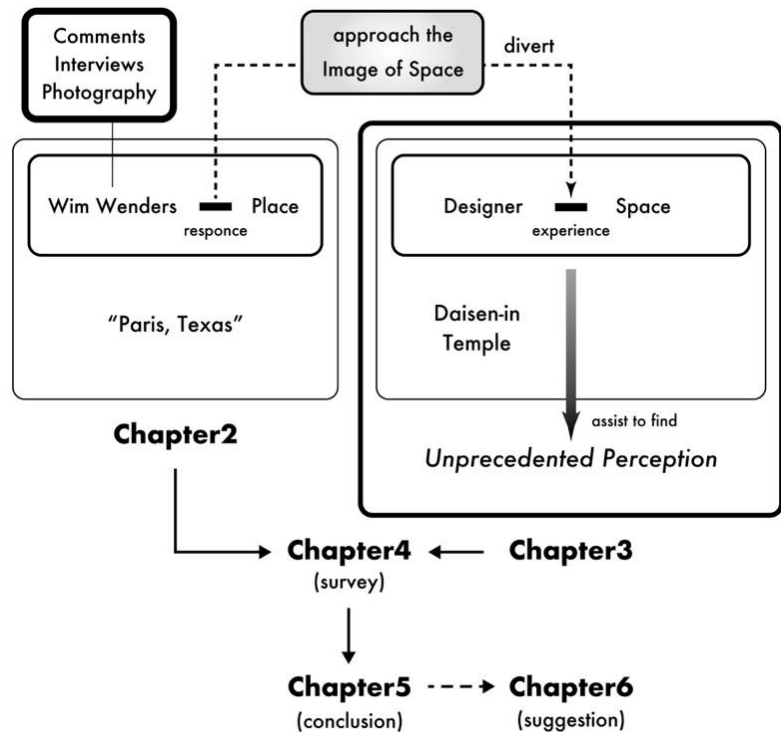


Figure 1 Structure of this paper

## Chapter 2. The Driving Sequence -from the Desert to the City-

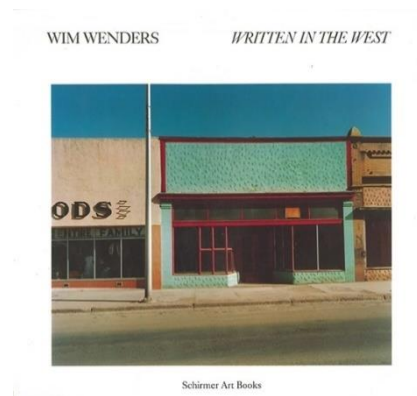
### 2.1. Strong Relationship between the Director and the Place

Wenders says

So there was no completed script when the shooting started.  
I made the composition each time in the relationship with  
things in front of me. We didn't prepare anything beforehand.  
Then, landscapes and places determine the composition. <sup>1) 15</sup>

Like this interview, he talked about his production process and relationship with the place in interviews and texts so much. From now by analyzing the sequence of the movie based on his words.

In addition, being a director, he is a photographer. traveled the Western United States before shooting “Paris, Texas” and took photographs during the trip for “sharpen my (his) understanding of the light and landscape” <sup>2) 8</sup>. After that, he published a photography

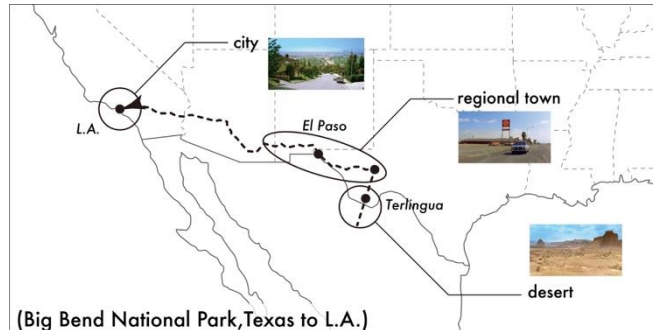


He

book 'Written in the West'. From these points, there is a strong relationship between him and the places.

## 2.2. The Driving Sequence

I focus on the long driving sequence from the desert to the city by car trip in the first half. Especially, he talked that it was shot in same order as the story.<sup>3)</sup> This sequence characterized by changing landscapes around the car.



**Figure 3 The Driving Sequence**

### 2.2.1. The desert

At the beginning of this movie, the aerial scene of Big Bend National Park is shown. The main character, Travis appears in this valley from Mexico on foot. Wenders talked about the opportunity when he found this place<sup>3) 93</sup>. Also, assistant director, Claire Denis spoke about this in the interview.<sup>4)</sup> When the guide of the park recommended and took them there by the helicopter, she thought this is the very place to start, and Wenders agreed to shoot here.



**Figure 4 The Desert  
(Big Bend National Park)**

### 2.2.2. Outside view through the window of the car - 1

Walt, brother of Travis is running after him from this scene. He is choosing the direction from two followings in the desert just now. The driving sequence is starting from this Desert town, Terlingua.



**Figure 5 Choosing the Direction in the Desert town (Terlingua)**



### 2.2.3. Get on and off the car – 1

Walt reaches Travis and talks him to get on the car, however, Travis keeps silence. He is gazing afar for a while and decides to get into. Wenders mentions about the landscape as it is.<sup>6) 246</sup> He criticizes the National Parks with the viewpoints set in advance. This image is the landscape what he said to be. Also, he commented that he loves the landscape with the telephone pole.<sup>5</sup>



**Figure 6 Gazed Landscape as It Is**

### 2.2.4. Outside view through the window of the motel – 1



**Figure 8 'Room by the Sea'**



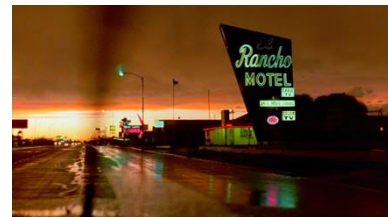
**Figure 7 the Empty Room**



Travis walks away from the motel, and Walt comes back. He notices the empty room and runs after Travis. This empty room is similar to the painting 'Room by the Sea' (1951) by Edward Hopper. Wenders wrote about this painting, there is a window as the only theme in it and the hopper's familiar with the movie, therefore it looks as if someone has jumped out of the room from the door to the sea<sup>7) 15</sup>. This painting causes to be conscious of the scenery beyond the door. Like this painting, Wenders used the door to notice the uninhabited landscape outside of the room.

### 2.2.5. Outside view through the window of the car – 2

Walt drives the highway, gradually the signboard of the motel is coming up to the car. These signs show that they have arrived at the regional roadside town. He drives into the parking lot smoothly and stops. Wenders described his memory and expectation about Neon Sign.<sup>6) 257</sup> He talks that he and photographer filmed the scene impromptu only once.



**Figure 9 Neon Sign**

### 2.2.6. Outside view through the window of the motel – 2

In the early morning, Travis looks inside of the room. There is a blank TV. In the long poem, Wenders criticized the television's shortcomings of being habituated to video overload.<sup>6) 246</sup> On the other side, when he looks outside through the window, there is the signboard beside the road in the rain. Wenders also says about the unreality of the view through the window.<sup>6) 100</sup> The pictorial neon sign is an opportunity for him to connect the actual place with his image of the roadside in the United States.



**Figure 10 Inside and Outside of the Motel**

### **2.2.7. Get on and off the car – 2**

They arrived at the airport and get on the plane, but Travis refused at last. They search the same car and keep going on a car trip. This scene is suggesting another long drive in the desert because usually the airport is at the outskirts of town and they have already left there.



**Figure 11 Airport (El Paso)**

### **2.2.8. Outside view through the window of the car – 3**

Finally, after these scenes they arrive at the suburb in L.A. Outside of the car, we can see buildings, a junction, and houses. The first half trip has finished here.



**Figure 12 Approaching to the Suburb of L.A.**

## **2.3. from the Desert to the City**

Through the imagery, Travis passed the chain of landscapes. Looking at all these scenes, finally, we can feel the movement from desert to city. Wenders says

Gradually, he (Sam Shepard) made me recognize that it is not necessary to travel long. He told me all of things in the US are in Texas as a miniature.<sup>3) 92</sup>

From this remark, he found the completed world in the driving sequence from Texas to L.A through the response between him and the places. Now we can realize that the sequential aspect of the movie is bringing the scenes together and sublimating them into a single continuous experience of space. The image from the driving sequence has transformed into the image of the United States by the approach as the “sequence”.

### Chapter 3. The Approach from Movie to Actual Space - The Sequence in Daisen-in -

#### 3.1. About Daisen-in Temple

Daisen-in Temple is the sub-temple in Daitokuji Temple, one of the five most important Zen temples in Kyoto. It was founded in 1509 by the high priest, Kogaku - Soko. Hojo(study hall) and the entrance hall are national treasures. Also, it is especially famous for its dry landscape garden. As mentioned earlier, historians and designer have thoroughly discussed this architecture, and it is a universal architecture that cannot be opened up to new perspectives only by conventional ideas.



**Figure 13 Aerial View of Daitokuji Temple** <sup>P1)280</sup>  
(edited by the author to show up the location of Daisen-in)

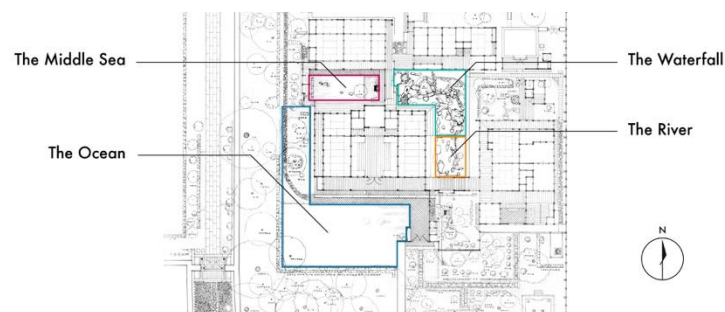
#### 3.2. The Sequence in Daisen-in Temple

##### 3.2.1 Introducing the sequential approach

The garden is divided into four spaces. Among the researcher and designer who mentioned this architecture, one architect, Fumitaka Nishizawa said “A bridge is built down the waterfall, and water that flows quickly passes under the bridge. The other flow was so strong that it swirled in the north garden. The water gradually declines, it flows down in a broad gentle stream from the weir, and finally flows down to the Ocean to the south.” From this essay, there is the image of water flow in the gardens however, it is image or impression and not perceived as an actual spatial experience.



**Figure 14 Hojo (Study Hall)** <sup>P2)</sup>



**Figure 15 Four Gardens**

only



At this research, introducing the sequential approach, I will show the connection imaginary to physical. From now, I suppose the experiences between us and the spaces in Daisen-in through the movements

### 3.2.2 Approach (Viewpoint 1 in Figure16)

At first of approach, the wide area appears in front of the first gate. Take a side glance at there, the first gate (Figure 17) comes up. The long stone points the way forward and increase expectations for the path beyond the gate. A slight clockwise tilt of the approach to the gate added to the visual presentation.

### 3.2.3 Entrance (Viewpoint 2 in Figure16)

Through the first gate, the front garden makes an appearance. When I get into the entrance hall, there is a Kato-window on the left side. The garden shows up in the window. This picturesque viewpoint characterizes the spatial image of the south garden while suggesting a place to stand later. After that point of view, we move forward through the entrance hall.

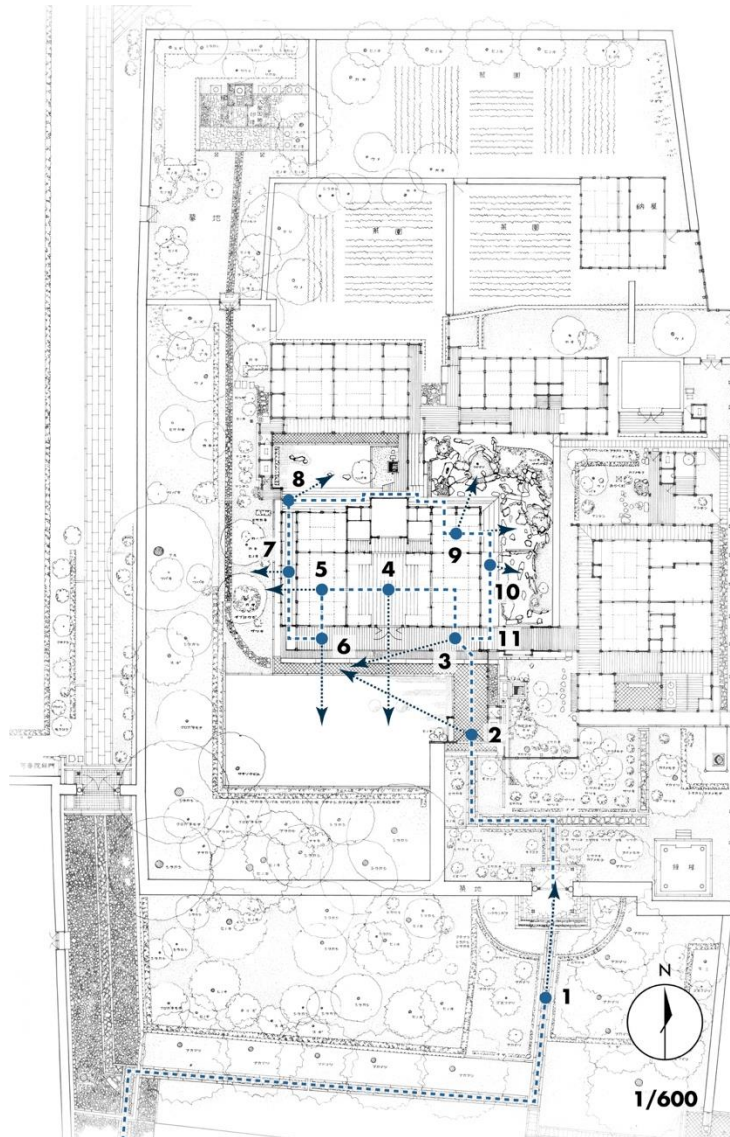


Figure 16 Numbering of the Sequence



Figure 15 The First Gate P3)35



Figure 18 Kato Window P3)23

### 3.2.4 Broad Veranda (Viewpoint 3 in Figure16)

Going through the entrance hall, the broad veranda emerges on the left side. For a while, we gaze at the landscape with the south garden. We can feel faintly that the white sand is shining.



Figure 19 Broad Veranda P3)26

### 3.2.5 View from the Hall (Viewpoint 4 in Figure16)

Pass the dark first guest room and enter the main hall, the view of the south garden through the window over the veranda comes into our eyes. For a moment, we sit on the Tatami mat and savor the landscape from the room.

### 3.2.6 West Garden from the West Guest Room (Viewpoint 5 in Figure16)

Next to the main hall, there is a more private guest room on the west. From this room, we can see the west quiet garden across the corridor. As we stare at the garden, we can hear the rustle of the leaves.



Figure 20 View through the Veranda P3)48

### 3.2.7 Ocean from the Veranda (Viewpoint 6 in Figure16)

When the viewer goes out of the room, shining white sand is spreading in front of us. When we sit down and look at the garden, the breezing is can be heard and start to we notice how the sand changes every second as the sun changes by the moving cloud. The hedgerows across the garden murmur and the sweet sounds reached our ears.

### 3.2.8 Corridor (Viewpoint 7 in Figure16)

After the amazing experience, the viewer steps forward. He is feeling some signs of the next space on the way ahead. Moving forward while raising expectations for there.

### 3.2.9 The Middle Sea (Viewpoint 8 in Figure16)

Ahead of the corridor, the middle sea arises. This garden is between the Hojo and Shoin (another building with a drawing room). Walking through the north corridor, we suddenly hear a bell sound from the other side of the garden. This is the sound of “Fu-rin” which is Japanese bell and hung from the eaves to feel cool. We sense the presence of others and feel the calm tension.



Figure 21 The Middle Sea P3)68

### 3.2.10 Two Aspects from the Study room (Viewpoint 9 in Figure16)

Get into the study, there are two aspects for looking at the garden through the window. In front of us, there is a stone like the waterfall. If we assume that it is a waterfall, we can roughly understand that sand extending from there to the left and right indicates the water flow. Beautiful blue stones praise the stream.



**Figure 22 Panoramic view of the study room<sup>P3)5</sup>**

### 3.2.11 Return to the starting point (Viewpoint 10,11 in Figure16)

Finally, we passed the space called "river" with the stone like a boat. In the end, we feel like walking by the water flow. Therefore, when we go back to where we start to get around the Ho-jo and watch the wide garden in the south again, the rustle of the leaves and the transition of the sand brightness we stared at before looks change into the ripple of the "Ocean".

### *3.3. Image of Space to Actual Experience by the Sequential Approach*

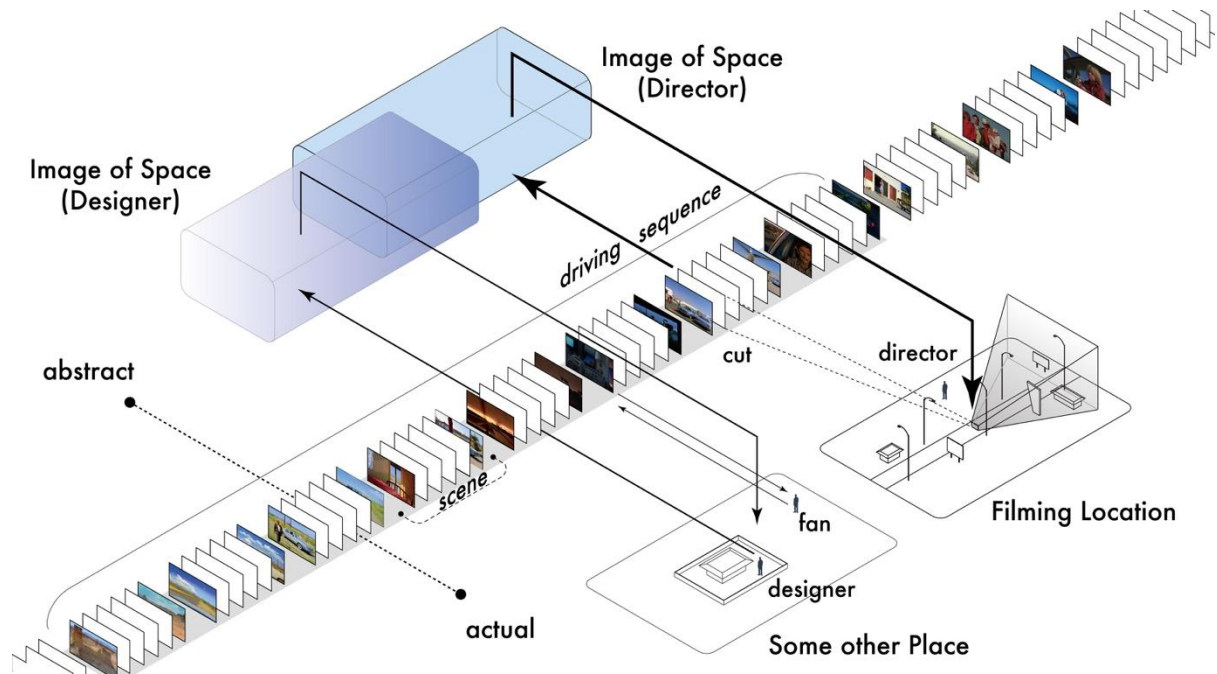
We have seen the whole viewpoints which I set. Of course, this movement is just one example, and the possibilities are endless. However, it is always possible to think of the effect of connecting spaces along with the sequential approach with one another by any route of movement. In addition, in the field of architecture, the conventional concept of sequence is handled only in the sense that the relationship with the surroundings changes due to the continuous movement of the subject, so the viewpoint of sitting down and looking at the changes of the surroundings as in this case is the knowledge obtained by introducing the concept of sequence in movies.

Lastly, this dramatic switch in thought alters the image of sand that we have seen so far and leads us to perceive it as a stream of water. We integrate the 11 perspectives that we have experienced here around the four gardens into one continuous spatial experience. This is the transformation of an image by introducing a sequence.

## **Chapter 4. Survey two aspects of the Sequence**

In the end, I will compare the two aspects of the sequence from the architectural and the movie, and take a general view of the relationship with them.





**Figure 23 Diagram of Image of Space**

Figure 24 shows the film production process between the directors and the image on the director side. They have the image of space initially and shoot on the place to express it over and over in each scene. Completed the sequence, they finally are able to embody what they imagine.

On the other designer's side, we imagine the background space of the movie in each scene while we watching the movie. Finished watching, we have caught our image of space inspired by the sequence. Thereafter, when we design the works or observe architectures or landscape works, this image formed by the sequence will be remembered. Using this effected image, it is possible to explore the way architectural space should be or to redefine existing architecture.

## **Chapter 5. Conclusion**

In Chapter 2, the formation of the spatial image was discussed by the analysis of the scenes in "Paris, Texas", while paying attention to the director's thought in the Place. I could obtain the completed image in the western United States from the driving sequence by his words.

In Chapter 3, By using the sequential approach obtained in Chapter 2 for viewpoint analysis in the traditional temple "Daisen-in Temple", we were able to perceive a spatial image of water flow with an actual feeling that had not been obtained by any researches before.

In Chapter 4, I surveyed the positions of the designer and the director and diagramed the relationship through the image of space produced by the sequence in the movie.

In conclusion, we designers watch the movies as the image of space through the sequential approach, directors make an effort to shoot the filming location as their ideal image. The sequences influence our creation between the image and the real place. Henceforward, I need to develop the other design approach from the analysis of the movies.

## Chapter 6. Suggestion

At last, I have to suggest about the tourism to the filming location. Recently, a lot of people visit filming locations in Japan as well as the US. In this paper, I argued that we designers image about the background and try to imagine things that we can't see. However, tourists want to see the complete similarity between the movies and the places.

As I mentioned earlier, the movies are the ideal image that is based on reality, but It consists of cutting out or dramatizing reality, so it is different from actual state. But tourists do not concern about the difference. As a result, the filming location will be potentially modified look like the movies. It is a danger not to think about how original state is. We should study about the director's mind not what they saw. The composition will give us more inspirations than just visiting locations without knowing anything.

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**“Democracy Dies in Darkness”**  
**Local News Engagement Means more Public Participation**  
(With apologies to the Washington Post)

Beth Potter and Vincent Russell  
University of Colorado Boulder

## **Introduction**

As local news engagement has declined across the country, so, to, have traditional Main Street mores – things like talking to your next-door neighbor over the fence, volunteering at your child’s school or voting in your local fire district election. However, journalists try to keep the adventure we call “democracy” alive by informing readers about local topics.

While many scholars have looked at the general relationship between local news and civic engagement, this study extends the body of research by exploring specific factors of local news engagement in the current transitory media landscape and linking those factors to certain types of public participation.

More than 360 people responded to an online Qualtrics survey, disseminated through a link in an email to “The Colorado Sun/Sunriser” (Hutchins, C. 2018) and “The Denver Post/Mile High Roundup” newsletter subscribers. Of the total, researchers used about 315 complete surveys in the final tabulations. Researchers created a local news engagement (LNE) scale of 11 questions and used an existing KASP scale of 55 questions (knowledge, attitudes, skills and participation) created by scholar Daniel Schugurensky (Schugurensky, 2002) to create a snapshot of how survey respondents interact with their communities.

Despite rapid changes going on in the media industry, survey findings show that news consumers are more likely to be engaged in their communities. Specifically, Colorado residents who subscribe to one of two online newsletters - the Sunriser or the Mile High Roundup - and who give tips to local news outlets, write letters to the editor and/or attend news-related events are more likely to be engaged in their communities than news subscribers who do not do those things. People with higher household incomes who subscribe to a newsletter also are more likely to be engaged.

Researchers reviewed literature about normative theories of the media, (Christians, C. G., Glasser, T. L., McQuail, D., Nordenstreng, K., & White, R. A., 2009) which hold that journalism is a tenet of a democratic society.

RQ1: Among local news consumers, what is the relationship between the level of local news engagement and the rate of public participation?

H1: There is a positive relationship between more involved forms of local news engagement such as writing a letter to the editor, sharing stories with others, and attending in-person events organized by local news outlets – and public participation.

Participants (N=315) were asked 11 local news engagement questions such as where they go to look for news, how often they read, watch or listen to the news, how often they share things with others that they find in the news, their community engagement habits, if they know the names of their local public officials, if they have been involved in solving community problems and other similar questions.

On the public participation side, participants responded to a 29-item scale of KASP indicators about their knowledge, attitudes and skills related to community involvement.

## **Literature review**

News outlets in the United States – whether they're newspapers, online newspapers, radio or television outlets - facilitate public deliberation, according to the normative theory of media in democracies (Christians et al., 2009).

Local media outlets help people navigate social, political and cultural agendas. The press facilitates public deliberation by framing democracy as an interactive dialogue where citizens engage with one another to discuss pressing social issues, identify solutions and implement those solutions (Christians et al., 2009).

Although many scholars have examined the relationship between local news and civic engagement, this study extends that body of research by exploring the relationship between local news engagement and public participation. Analyses of survey data collected from a non-probability sample of local news consumers in Colorado (N=315) show that those who write letters to the editor, share stories with friends and/or attend news-related events are more likely to be engaged in their communities than local news consumers who do not do those things.

Analyses also show that higher household income and local news engagement mean higher rates of public participation, but a higher age and local news engagement does not mean a higher rate of public participation.

The findings may possess implications for the normative theory of media in democracy, suggesting that local news media play a role in how people develop the knowledge, attitudes, and skills necessary for public deliberation.

This research paper examines the ways people get and share local news and how that engagement relates to broader forms of public participation.

Specifically, this paper analyzes the ways that people engage with local news outlets (i.e., writing letters to the editor, sharing stories with others, submitting content to a local news outlet)

and how that engagement relates to non-institutional forms of public participation (i.e., attending community meetings, addressing community issues, attending rallies or protests).

The study provides empirical assessments of the normative theory's claims that 21<sup>st</sup>-century journalism is participatory and promotes dialogue and deliberation within communities.

To add to the empirical definition of news and local news engagement, scholars Livingstone and Markham frame it as people's cognitive, social, habitual, and motivational engagement with the news media as shown in values affinity, identity, and talk. (Livingstone & Markham, 2008).

In addition to contributing to scholarship on newspapers and civic engagement, the article also extends Daniel Schugurensky's (2017) conception of democratic knowledge, abilities, skills, and practices (KASP) from the sphere of face-to-face public deliberation processes into the realm of mediated communication, an area previously unexplored in KASP literature.

The study concludes that local news engagement and public participation rates are positively correlated. Additionally, the level of one's local news engagement and an individual's household income significantly predict rates of public participation. That is, as a person's local news engagement and household income increase, so does their public participation. Notably, age did not significantly predict public participation rates.

The U.S. news media – both local and national - is considered a vital component to a healthy and sustainable democracy. For centuries, scholars have argued that local media – newspapers, online newspaper, radio and TV - support democratic engagement by informing citizens of political and community happenings, as well as serving as a watchdog over public officials (de Tocqueville, 1835; Rothenbuhler, 1996; Peer, Malthouse and Calder, 2003; Kovach and Rosenstiel, 2007). However, news media subscription and circulation rates have been declining for years, raising questions about the implications for public participation in civic affairs (Shaker, 2014).

Ever since Jurgen Habermas's put forth his concept of the "public sphere," (1962, 1989), scholars have discussed the importance of a "public world," where residents are informed and maintain a certain quality of public discourse (Christians et al, 2009.)

John Dewey discusses what makes a democracy, for example (1946), as does Hannah Arendt in her thoughts about a "public realm" (1958) (Couldry, N., Livingstone S., Markham T., 2010.) Feminist scholar Nancy Fraser talks about "an institutional arena for discursive interaction." (1997, 451) (Christians et al, 2009.)

According to Couldry et al., "public connection," is a space where matters of public concern should be solved which is linked "to some common frame of collective action about common resources. (Couldry et al. 2010.)



Shaker (2014) researched the connections between local newspapers and public participation and found that in cities like Denver where the Rocky Mountain News local metro newspaper went out of business, public participation rates decreased.

While much of the literature about local news and civic engagement focuses on voting and other institutional forms of engagement, (e.g., McLeod et al., 1999; Ognyanova et al., 2013; Shaker, 2014), this research paper studies relationships between local news engagement and distinct types of public participation. Although voting and other institutional forms of public engagement are valuable ways to measure public engagement, studies about those areas fail to capture other significant ways of contributing to civic affairs.

We begin with a literature review of scholarship related to the normative theory of media and theories of public participation that provides conceptual frameworks for local news engagement and public participation that informed the study. Next, the researchers outline the methods, identify research questions and hypotheses, and explain measures from the survey questionnaire. Finally, the researchers lay out the survey results and discuss the significance of those results for scholars, democratic institutions, and local news outlets.

## **Public Participation and a Normative Theory of Media**

This study was informed by a normative theory of media and theories of public deliberation and public participation. This section first delineates the normative theory and how it informed the concept of local news engagement used in the study, as well as how it informed the research questions and hypotheses. Next, theories of public deliberation and public participation and the KASP scale all are explained.

### **A Normative Theory of Media**

A normative theory of public communication is one that provides a reasoned explanation of how public discourse ought to be conducted for a community or nation to identify and implement solutions to its problems (Christians et al., 2009). Christians et al. (2009) further clarify that a normative theory “attempts to *explain* how certain forms of discourse lead to good collective decisions” (p. 66). Normative theory functions as a conceptual foundation and explanatory rationale for public communication (i.e., news media) in a democracy, and it explains the roles of media systems and institutions in democracy. This research project draws on the citizen participation tradition in normative theory, as well as the facilitative role of the press mentioned by Habermas.

Habermas talks about normative democratic theory centered on how public participation, through discursive processes of deliberation, can legitimately influence political decision-making. (Livingstone, S. and Lunt, P. 1994.)

Christians et al. (2009) argue that since the 1970s, journalism in the United States has operated within a tradition of citizen participation. The citizen participation tradition emphasizes supporting and improving local, small, and alternative media that support people as they work to challenge the status quo. Local news outlets are expected to provide increased support for grassroots social change campaigns by reporting on them and therefore better equip citizens to work for social change.

Central to the citizen participation tradition is an ethics of dialogue that emphasizes the importance of the multiplicity of cultural identities, opinions, and life experiences (Christians et al., 2009). This ethic gives rise to the promotion of dialogue and deliberation in public communication where “Public discourse is defined not by the leadership and power holders but by *all* people in the debating community, especially minorities, the poor, and the marginalized who are less articulate” (Christians et al., 2009, p. 62). The citizen participation tradition of normative theory also embraces “public journalism,” in which the media not only informs the public, but it also works towards engaging citizens and creating public debate. (Rosen 2001)

Finally, media that emphasize citizen participation are expected to build community through public deliberation, transformative action, and nonviolence (Christians et al., 2009).

Another key component of normative media theory is the facilitative role of journalism (Rosen, 2001, Christians et al. 2009). As Christians et al. (2009) explain, “In their facilitative role, the media promote dialogue among their readers and viewers through communication that engages them and in which they actively participate” (p. 159). According to Rosen, news media outlets facilitate, strengthen, and support participation in civil society outside the state and the market. They not only report on the happenings of civil society but also seek to enrich and improve it.

The press facilitates public deliberation by framing democracy as interactive dialogue where citizens engage with one another to discuss pressing social issues, identify solutions, and implement those solutions (Christians et al., 2009). Media outlets help readers and viewers navigate social, political, and cultural agendas. Deliberation considers a “wide range of evidence, respectful of different views,” weighs available data, and considers “alternative possibilities” (Macedo, 1999, p. 58). In sum, a normative theory of the media explains the press as supporting democratic habits among citizens by encouraging them to create and disseminate the content that forms civil society, as well as by framing coverage of current events as public deliberation where sociocultural issues are debated.

Drawing on these ideas from the normative theory of media, researchers came up with 11 questions to create a local news engagement scale. The scale was informed by previous work by scholars in the area of news engagement, including similar questions formed in a longitudinal study about news done by Ha, L., Xu, Y., Wang, F., Yang, L., Abuljadail, M., Hu, X., Jiang, W., & Gabay, I. in 2016. In the study, Ha et al. conceptualized news engagement as five different levels of consumer interaction with news. (2016).

In our study, local news engagement is defined as ways that people interact with, distribute, consume, and create local news. Given both the citizen participation tradition and the facilitative role of media, one can expect that local news is more likely to influence public participation. For example, newspapers readers and TV watchers know they're more likely to be published or recognized if they write a letter to the editor of a local newspaper or send a picture to a local TV station rather than a national one. Similarly, community members are more likely to have material that is helpful and interesting to local news outlets than to national ones. For example, only certain individuals are in a position to be whistleblowers at federal agencies, but many more people can create and share news content about their local schools, their local sports teams and their local nonprofit groups - content that would be of interest to local news consumers.

Lastly, if media promote opportunities for citizen engagement, then the local level is often the first place where civic engagement occurs. Tracy (2010) calls this "ordinary democracy," where residents interact most frequently at the local level and are most likely to influence government at this level. In this vein, attending public meetings, presentations, panels, and debates is easier and more feasible at a local level. One does not expect CNN to host a debate between local school board candidates, but local news outlets regularly perform this function.

All this is not to say that national news outlets do not also fit into a normative theory of media. Rather, this study focused on local news and local news engagement because the effects and opportunities of civic participation and facilitating public deliberation present a rich area to test the claims of the normative theory. This paper focuses on the citizen participation tradition with local media, especially newspapers, and looks to engagement with those types of media. The conceptual definition of local news engagement implemented for this study complements theories of public participation, discussed in the next section of the paper.

### **Knowledge, Attitudes, Skills, and Practices of Public Participation**

This project also draws on Schugurensky's (2002, 2006) KASP scale of public participation. The scale has been applied in several studies of democratic learning that have explored the contribution of participation in public deliberation processes to the development of democratic knowledge, attitudes, skills, and practices among participants (Cohen, Schugurensky, & Wiek, 2015; Lerner & Schugurensky, 2007; Schugurensky & Meyers, 2008; Schugurensky, Mundel, & Duguid, 2006). Schugurensky's KASP framework directly addresses the learning outcomes of participatory democracy. It does this by assessing informal learning in a democratic process, where learning may not be conscious or intentional but the result of experiential encounters and group socialization. By identifying 55 indicators of democratic learning, the KASP scale elicits the tacit knowledge of participants as it relates to democratic, participatory habits.

Schugurensky (2006) contends that learning democratic habits is best promoted through practicing them. That is, the informal learning of participatory democracy is experiential and requires practicing democratic sensibilities to refine those sensibilities. For example, one does not

learn public speaking merely by reading about public speaking; one must practice public speaking. Likewise, one cannot learn how to build consensus among diverse neighbors merely by reading about it; one must actually strive to build consensus through interactions with others. As Schugurensky (2006) explains:

*The learning that is acquired through participation (be it related to attitudes, knowledge, or skills) often has an expansive effect. This means that, as people become more familiar with, and more effective in, local democracy, they also become more interested (and even more engaged) in broader issues of regional, national, or international scope. (p. 172)*

Therefore, the KASP scale not only records what participants have learned in a democratic process; because of the experiential aspect of informal learning, the scale also records how respondents have participated in public affairs.

The KASP scale complements the citizen participation model and facilitative role of public communication proposed in the normative theory of media. Normative theory suggests that news media promote implicit learning suitable for local democratic engagement and public deliberation, and the KASP scale measures informal learning and practices in public deliberation processes. Our study extends these theories by applying the KASP scale to mediated contexts, as well as empirically assessing the ways people engage with local news and their rates of public participation.

Our study operationalized newspaper engagement with the previously mentioned 11-item scale that asked participants how many times in the past six months they had read a local news headline, written a letter to the editor, and provided a tip to a local news outlet about a story, among other behaviors. We operationalized public participation according to a 29-item scale adapted from KASP indicators that ask participants about their knowledge (i.e., “I know how to get things done in my local government), attitudes (i.e., “Most of the time, local elected officials can be trusted to do the right thing”), and skills (i.e., “Making collective decisions”). Some items were removed from the original 55-item KASP scale for the purposes of this study because they were irrelevant and/or hindered the scale’s validity. For example, the original item “Monitors and keeps track of the public budget” was deemed too specific to the scale’s original use as an evaluation of participatory budgeting processes, and the item was therefore excluded from this study.

Drawing from both the normative theory of media and theories of public deliberation, the research question for this project related to the relationship between local news engagement and rates of public participation:

RQ1: Among local news consumers, what is the relationship between the level of local news engagement and rate of public participation?

According to the normative theory of media in democracies, where news media have become more participatory and facilitate public deliberation (Christians et al., 2009), the first hypothesis follows:

H1: There is a positive relationship between local news engagement and public participation.

Furthermore, other studies have demonstrated that the higher a person's socioeconomic status, then the more he or she will engage in civic affairs (Lynch, Smith, Kaplan, & House, 2000; Neckerman & Torche, 2007; Uslaner & Brown, 2005). Additionally, scholars have found a positive relationship between age and civic engagement (Coley & Sum, 2012; Kruse & Schmitt, 2015). These factors contribute to the next two hypotheses:

H2: There is a positive relationship between socioeconomic status, local news engagement, and public participation.

H3: There is a positive relationship between age, local news engagement, and public participation.

To answer these questions, researchers administered a survey questionnaire to gather data.

## Methods

Data for this study came from a nonprobability sample of 315 adults. Babbie (2016) argues that nonprobability sampling is warranted for populations where the exact number of members is unknown, as is the case with the target population of this study. After researchers received Institutional Review Board approval, we invited participants to self-administer an online survey in November and December 2018. A hyperlink to the survey was shared in the online newsletters of two local media outlets (*The Colorado Sun* and *The Denver Post*), and participants were invited to complete the questionnaire. To incentivize participation, individuals were told they could enter into a random drawing for two \$50 gift cards after completing the survey.

## Measures

The variables in this study comprise measures of local news engagement, public participation, and demographics. Descriptions of each measure follow.

*Local news engagement.* Based on the normative theory's claims that media promotes participation among consumers (Christians et al., 2009), the survey instrument tapped respondents' levels of engagement with local news, including number of local news subscriptions, letters to the editor, and attendance at events organized by local news media. Each measure was asked at a ratio level. Participants were asked the number of times in the past six months they had read or listened to a local news story, shared a local news story with others, and submitted a tip about a story to a local news outlet, among other items. Each item was combined to create a measure of local news engagement ( $M=103.59$ ;  $SD=18.76$ ) that was reliable, with a Chronbach's  $\alpha=.53$ .

*Public participation.* Respondents were asked a battery of questions related to public participation. Participants were asked the extent to which they agreed with certain statements on a

five-point item (1=*strongly disagree* to 5=*strongly agree*) related to knowledge (e.g., “I know how to get things done in my local government;” “I understand the needs of my neighbors and those in my community;” “I know about current issues being discussed among local elected officials”) and attitudes (e.g., “Citizen participation in local government is important;” “Most of the time, local elected officials can be trusted to do the right thing;” “I am responsible for helping fix issues in my city”). Respondents were asked to rank their comfort on a five-point item (1=*not at all* to 5=*extremely*) related to skills (e.g., “Making collective decisions;” “Planning and organizing community meetings;” “Public speaking”). Each item in the scale was combined to create a measure of public participation ( $M=956.46$ ;  $SD=5,917.18$ ), and the scale was highly reliable with Cronbach’s  $\alpha=.93$ .

*Profile of respondents.* Control variables for H1 include gender, education, age, household income, and race. Of the 315 respondents, 58.3% are female, 40.3% are male, and 1.3% are gender non-binary. In terms of education, the average number of formal years of schooling was 17.22 ( $SD=2.98$ ), approximating a bachelor’s degree. Variables of household income and age were used to address H2 and H3, while other demographic variables were held constant. The median household income of participants is \$100,000 ( $M=\$121,973$ ,  $SD=88,269.57$ ), and their average age is 55 ( $Median=59$ ,  $SD=15.96$ ). As for race and ethnicity, respondents are 92% white, 1.3% Asian American, 1% Black or African American, 2% Hispanic or Latinx, and 4% Other.

## Results

H1 necessitated a test of the correlation between local news engagement and public participation to see if normative theories of the media hold in what is arguably a transitory period for both mass media and national democratic institutions.

We used multiple regression to test the hypothesis that more involved forms of local news engagement and higher socioeconomic status (household income) would predict public participation.

We asked participants a set of 11 questions to assess their level of local news engagement as inspired by previous scholarly work and by the normative theory of the media (see Table 1).

First, respondents were asked how many minutes they spent consuming local news each day ( $M=78.75$ ,  $SD=56.38$ ). The following questions asked how many times in the past six months participants had engaged in certain behaviors. Participants estimated how many times they had read a local news headline ( $M=329.35$ ,  $SD=738.82$ ), commented on a local news story online ( $M=12.4$ ,  $SD=46.53$ ), read or listened to a local news story ( $M=333.37$ ,  $SD=780.37$ ), liked a local news story on social media ( $M=345.16$ ,  $SD=5744.38$ ), and donated to a local news outlet ( $M=1.97$ ,  $SD=6.29$ ). Additionally, respondents were asked how many times they had written a letter to the editor ( $M=1.24$ ,  $SD=10.78$ ), shared a local news story with others ( $M=41$ ,  $SD=66.01$ ), provided a tip about a story to a local news outlet ( $M=1.9$ ,  $SD=15.58$ ), submitted a photo or video to a local news outlet ( $M=2.53$ ,  $SD=23.72$ ), purchased a local news subscription as a gift for someone else

( $M=.1$ ,  $SD=.44$ ), and attended an in-person event organized by a local news outlet ( $M=.35$ ,  $SD=1.03$ ).

We ran Pearson's correlation to test the correlation of each form of local news engagement to public participation rates. Four forms of local news engagement were statistically significant (see Table 2), including sharing a local news story with others ( $r=.17$ ,  $p<.01$ ), attending an in-person event organized by a local news outlet ( $r=.13$ ,  $p<.05$ ), writing letters to the editor ( $r=.14$ ,  $p<.05$ ), and reading local news headlines ( $r=.12$ ,  $p<.05$ ). H1 is partially supported. The remaining variables did not significantly correlate with public participation rates.

These variables included commenting on a local new story online ( $r=.07$ ,  $p>.05$ ), reading or listening to a local news story ( $r=.04$ ,  $p>.05$ ), providing a tip to a local new outlet ( $r=.1$ ,  $p>.05$ ), submitting a photo or video to a local news outlet ( $r=.02$ ,  $p>.05$ ), liking a local news outlet's post on social media ( $r=.11$ ,  $p>.05$ ), purchasing a local news subscription as a gift for someone else ( $r=.09$ ,  $p>.05$ ), donating to a local news outlet ( $r=.11$ ,  $p>.05$ ) and minutes spent consuming local news ( $r=.04$ ,  $p>.05$ ).

H2: Some local news engagement variables significantly predict public participation rates.

RQ2: Do local news engagement variables such as providing a tip to a local news outlet predict a participant's public participation rate?

Multiple regression analysis was used to test which demographic variables and local news engagement variables significantly predicted public participation (see Table 3). The results of the regression indicated that four predictors explained 15 % of the variance (Adjusted  $R^2=.15$ ,  $F(17, 163)=2.85$ ,  $P<.001$ ). Income ( $\beta=.21$ ,  $p<.01$ ), providing a tip to a local news outlet ( $\beta=.21$ ,  $p<.01$ ), attending an in-person event organized by a local news outlet ( $\beta=.21$ ,  $p<.01$ ), and writing letters to the editor ( $\beta=.14$ ,  $p<.05$ ) predicted public participation. Years of education ( $\beta=.01$ ,  $p<.05$ ), race/ethnicity ( $\beta=.08$ ,  $p>.05$ ), age ( $\beta=.04$ ,  $p>.05$ ), gender ( $\beta=-.01$ ,  $p>.05$ ), reading local news headlines ( $\beta=.14$ ,  $p>.05$ ), commenting on a story online ( $\beta=.02$ ,  $p>.05$ ), reading local news ( $\beta=-.13$ ,  $p>.05$ ), sharing a story with others ( $\beta=.08$ ,  $p>.05$ ), submitting a photo or video to a local new outlet ( $\beta=.03$ ,  $p>.05$ ), liking a story online ( $\beta=.00$ ,  $p>.05$ ), purchasing a news subscription as a gift ( $\beta=.00$ ,  $p>.05$ ), donating to a local news outlet ( $\beta=.11$ ,  $p>.05$ ), and minutes spent consuming local news ( $\beta=-.01$ ,  $p>.05$ ) did not predict public participation. H2 was supported.

## Discussion

Recognizing the vital role that local news media play in encouraging public participation, this study provided an empirical investigation of the predictors of local news engagement and public participation. This study sought to better understand connections between individuals' local news engagement, public participation, age, and household income. The study has implications both for the status of democracy and citizen participation in civic affairs in the United States, as well as for normative theories of media and theories of public participation. Several findings from the study are worth highlighting.

First, local news engagement and public participation are positively correlated. This finding lends support to the normative theory's claims that news media promote civic participation (Christians et al., 2009). The fact that local news engagement and public participation are positively correlated lends credence to concerns from media scholars about citizens' declining trust in news, falling subscription rates, and the consolidation of media companies into ever-larger conglomerates (Shaker, 2014). The study also supports claims from the normative theory about the facilitative role of news media. Christians et al. (2009) posit that local news uniquely encourages the public deliberation of community issues and promotes democratic sensibilities. They argue this is accomplished through opportunities for citizen journalism and hosting of local candidate debates, among other unique contributions of local news media.

To assess public participation, this study drew on the KASP scale, a scale originally designed to measure knowledge, attitudes, and skills learned through public deliberation processes. The positive correlation between local news engagement and public participation found in this study lends credence to the normative theory's claims that local news media facilitate and promote public deliberation, especially because the measures of local news engagement that were statistically significant involved greater levels of participation from consumers.

This idea of deliberative democracy relates back to Habermas's thoughts about the categories of deliberation – sharing information, talking about it, forming opinions and participating – all of which indicate characteristics of “discourse” and “communicative action” (Habermas, 1984).

As the study shows, just reading more news or subscribing to an outlet does not correlate with public participation. But more deliberative, involved forms of local news engagement such as writing letters to the editor and attending in-person community events contribute to public participation. For advocates saying local journalism strengthens democracy, this study shows that democratic learning and public participation goes beyond voting or contacting elected officials.

Additionally, this study supports and adds further nuance to prior studies related to local news consumption and civic engagement. Whereas Moy et al. (2004) found that *attention* to local news correlated with public participation rates, this study sought to understand how *engagement* with local news connects to public participation rates.

This study's findings of positive correlation supports prior work related to the ways local news media bring disinterested residents together (Campbell, 1999) and raise people's concerns about social issues (Smith, 1987).

This study goes one step farther by conceptualizing participants as active contributors to local news, not merely passive consumers of news. Our operationalization of local news engagement, rather than local news attention, demonstrates that people are not merely local news purchasers, receptacles of information about their community, but are active creators and participants. The more that people engage with local news media, the more it is likely that they are



gaining practice in democratic skills and habits that make them more likely to participate in other public and community affairs.

Other media scholars have focused attention on local newspapers and public participation rates. This study lends support to prior research that shows correlations between the presence of local newspapers and public participation rates (Shaker, 2014) and local newspapers, newspaper consumption, and civic engagement (McLeod et al., 1999). In addition, our study extends those findings into other forms of local media, including television, radio, and online platforms.

Although local newspapers continue to serve vital roles in communities, this study broadens the scope of prior research to make claims about multiple forms of local media and their contribution to public participation rates. The findings provide empirical evidence that it is not merely the presence or circulation of local newspapers that correlates with public participation; instead, engagement with local news media such as television, radio and online platforms also correlates with public participation. As local newspaper circulations continue to decline, this study offers hope that citizens can still engage with other media platforms to practice the democratic arts.

This research also extends Schugurensky's KASP scale into mediated communication. Whereas previous studies have focused on face-to-face public deliberation (Cohen, Schugurensky, & Wiek, 2015; Lerner & Schugurensky, 2007; Schugurensky & Meyers, 2008; Schugurensky, Mundel, & Duguid, 2006), the findings outlined herein demonstrate the fit of KASP to assessing public participation as it relates to media. The study generated high internal reliability for the scale of knowledges, attitudes, and skills that was adapted from the KASP scale. The scale used in this study therefore offers a new analytical tool for communication and media scholars concerned with civic engagement.

Although formal, institutional forms of civic engagement such as voting and voter registration rates continue to be useful for public communication scholars (e.g., McLeod et al., 1999; Ognyanova et al., 2013; Shaker, 2014), this study has focused on informal forms of public participation, operationalized as relating to one's neighbors, planning and organizing community meetings, concern about neighborhood problems, and knowledge of current issues, among other items. Such a conception of public participation demonstrates that local news media do not merely contribute to people voting; they contribute to democratic knowledge, skills, and attitudes vital to promoting deep, sustained civic engagement and community building. Schugurensky's KASP framework offers a systematic way to analyze public participation that has been under-explored by media scholars.

Second, local news engagement and household income were significant predictors of public participation, but age did not predict public participation. This finding supports prior research that has found positive relationships between socioeconomic status and public participation rates (Lynch et al., 2000; Neckerman & Torche, 2007; Uslaner & Brown, 2005). Notably, though, this study's findings place local news engagement at nearly the same strength of

prediction as household income when considering public participation rates. It is reasonable to conclude that as an individual's income increases, his or her level of local news engagement will also increase. The person will likely have more disposable income to spend on local news subscriptions and more time to write letters to the editor, attend events hosted by a local news outlet, and read more stories. The relative similarity between level of local news engagement and household income to their predictions of public participation found in this study demonstrates that these factors are closely intertwined.

Additionally, level of local news engagement and household income explained only 3% of the variance in public participation. Thus, although the fact that local news engagement and household income explained public participation was significant, these two factors only accounted for a small portion of variance. That means this study sheds some light on explaining public participation, but much remains cast in shadow. Other predictors may include gender, race, geographic location, years of education, length of time at their current address, an individual's trust in local government, and/or an individual's feelings of empowerment for social change. Future studies ought to further explore the relationships between such factors and public participation rates to better illuminate what variables lead to increased public participation.

Notably, age did not significantly explain the variance in public participation rates. This finding contradicts previous studies that argued that as an individual ages, their civic engagement increases (Coley & Sum, 2012; Kruse & Schmitt, 2015). A potential explanation for this finding is that previous studies conceptualized civic engagement as voting and/or contacting elected officials. As previously discussed, this study cast a broader net for public participation, predominantly emphasizing attitudes and practices outside of voting and contacting elected officials. Many of the operationalization ideas for public participation include collectively working with community to address social issues, as well as attitudes about trust and empowerment for public participation and knowledge of civic affairs. Although one may expect competency in skills associated with public participation to increase with age, civic knowledge and attitudes about public participation are likely independent of age. That is, one can believe citizen participation in local government is important regardless of how many years one has lived.

Again, this finding offers hope for the revitalization of American democracy by demonstrating that any generation can engage in the forms of public participation identified in this study and that local news engagement is more significant than how old one is. Practically speaking, advocates who wish to promote public participation need not focus attention on specific age groups but can rather emphasize increasing local news engagement across all ages to increase public participation rates.

### **Limitations and Future Directions**

Several limitations of the study need to be addressed. First, because the sample was not randomly selected, researchers are limited in generalizing results. Second, participants come most

heavily from one geographic area (Colorado), are overwhelmingly white, mostly middle-aged, and somewhat affluent. The sample is therefore not representative of the American population. Third, the internal validity of the local news engagement scale was somewhat low (Chronbach's  $\alpha=.53$ ). This raises questions about how well the study measured local news engagement. Finally, survey questionnaires were self-administered online. The questionnaires relied on participants to self-report rates of local news engagement and public participation. Given the social desirability of these concepts, participants may have over-estimated their rates, which would inflate scores in the survey. These limitations present several opportunities for future research.

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# Swift's Language of Houyhnhnms and Its Influence on Orwell's Newspeak<sup>1</sup>

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Jonathan Swift was one of George Orwell's favorite writers, and *Gulliver's Travels* – one of his favorite books. More than that, Orwell considered *Gulliver's Travels* one of the best books ever written: "If I had to make a list of six books which were to be preserved when all other were to be destroyed, I would certainly put *Gulliver's Travels* among them."<sup>2</sup> A little-known fact that proves Orwell's admiration of Swift is that during his time at BBC, Orwell staged an imaginary interview with this author.<sup>3</sup>

What attracted Orwell in Swift's book? To answer that question, let us look at Orwell's review of *Gulliver's Travels*, titled "Politics vs. Literature" (1946), as well as at Swift's text itself.

Two of Swift's ideas seem especially important for Orwell: the rewriting of history and the society of Houyhnhnms and their language. For the purpose of this analysis rewriting of history is of less importance now (though it is of course one of the main ideas of *1984*); thus, we will deal with the language (and society – to the extent it depends on language) of Houyhnhnms.

From Orwell's review, it is evident that he was impressed with Swift's ideas and found them very modern. More than once Orwell calls them "totalitarian" while Swift, of course, never uses the term: "They have reached, in fact, the highest stage of totalitarian organization," "The totalitarian society of Houyhnhnms, where there can be no freedom and no development..."<sup>4</sup>

What type of language does such a society use? We shall analyze the language of Houyhnhnms and compare it with Newspeak using a standard procedure, which is commonly used in the analysis of any language: the structure (pronunciation, vocabulary, grammar) and the functions of the language.

## The structure of the language of Houyhnhnms

Although the description of this language seems to take a substantial portion of Part IV of *Gulliver's Travels*, we learn surprisingly little about the language itself, because a large part of that description tell the reader what is *not* in this language. Still, we do learn some facts about it.

*Pronunciation.* The only thing we learn about phonetics is that "they pronounce through the nose and throat."<sup>5</sup>

*Vocabulary.* We also learn little about the words of this language. There are some examples, scattered through part IV, but they seem more like Swift's play with the term *Houyhnhnm* than anything else. Besides, since their talk sounded like neighing to Gulliver at first, it is evident that Swift's "examples" of words are really mere combinations of *hm*, *hn*, *hl*, etc. Still, while reading, we come across the following words:

Houyhnhnm ("the perfection of nature")

Yahoo  
 Hhuun (hurry)  
 Hlunnh (oats)  
 Gnayh (bird of prey)  
 Hnea yahoo (general name for diseases)  
 Yknhniamshy (aborigines)  
 Lyhannh (a fowl)  
 Lhhuwnh (“to retire to the first mother” – to die)  
 Hnhloyan (exhortation)  
 Hhnm yahoo (folly of a servant)  
 Whnaholm yahoo (omission of a child)  
 Ynlhmawihlma yahoo (stone that cuts feet)  
 Ynholmhmrohlnw yahoo (ill contrived house)  
 Nhuhnoh (and animal)

Thus, there is not much to learn from this vocabulary except the fact that those words were difficult to pronounce, and it took some time for Gulliver to master the pronunciation.

We do learn much more about this language by learning what was not there than what was. First of all, there are fewer words than in English: “...their language doth not abound in a variety of words, because their wants and passions are fewer than among us.”<sup>6</sup> “Power, government, war, law, punishment, and thousands other things had no terms, wherein that language could express them.”<sup>7</sup> “Courtship, love, presents, jointures settlements have no place in their thoughts; or terms whereby to express them in their language.”<sup>8</sup>

Thus, since their society is governed by “reason,” there is a direct correlation between the scope of this reason and the scope of the language. Many notions common to us are entirely missing, and so are the words. For example, there is no concept for compulsion and consequently there is no verb “to compel.” The reason this and many other notions are totally missing is that there is no compulsion in their society. Thus, in the famous “triangle of reference” of Ogden and Richards,<sup>9</sup> all three corners are missing: the symbol, the thought (reference) and the referent. As a result, Gulliver has difficulty talking with his master, the noble horse, who let him say at his house.

Orwell creates a parallel situation in *1984* with Newspeak. Since the number of words in this language is radically fewer than in English, anything written or said in Standard English would be quite impossible to render in Newspeak. Thus, the famous quotation from the Declaration of Independence, as Orwell writes in the Appendix to his novel, is impossible to translate into Newspeak<sup>10</sup>: every new edition of the Newspeak dictionary contains fewer and fewer words, and every word is allowed to have only one meaning.

*Grammar.* We learn still less about the morphology and syntax of Houyhnhnms’ language. We do know that they use compound words, adding *yahoo* to get the names of diseases and other evil things, but that is all we know. As for syntax, there is only one example of an actual sentence: *Hnuy illa nyha maiah Yahoo*, which means “Take care of yourself, gentle Yahoo.”<sup>11</sup>

Again, this is similar to *1984*. Even though Orwell gives the reader quite a few examples of Newspeak vocabulary, there are very few actual sentences in that language. To be more exact, there are only two examples: one is given when Winston Smith is working on changing the newspaper article and he gets the following order:

Times 3.12.83 reporting bb dayorder doubleplusungood refs unpersonsrewrite fullwise upsub antefiling.<sup>12</sup>

The other is the text that O'Brian dictates "in the hybrid jargon of the Ministries" when Winston and Julia visit him in his house:

Items one comma five comma seven approved fullwise stop suggestion conraind item six doubleplus ridiculous verging crimethink cancel stop unproceed constructionwise ante-getting plusful estimates machinery overheads stop end message.<sup>13</sup>

As Orwell explains this to the reader,

In the year 1984, there was not yet anyone who used Newspeak as his sole means of communication, either in speech or in writing.<sup>14</sup>

But let us return to the language of the horses. There are more and bigger exemptions from the language: "The Houyhnhnms have no letters, and consequently, their knowledge is all traditional."<sup>15</sup> As a result, they "have not the least idea of books or literature."<sup>16</sup>

So this is the "ideal" language (and "ideal" society) as Gulliver/Swift describes it to us. We get a pretty gloomy picture, since this is a society with a very limited number of concepts present in their "reason." Houyhnhnms know no feelings, there can be no disputes because they already know everything worth knowing, and consequently, their society knows no development. It is stuck in place and time, and for that reason, they really neither need nor have a history, because there is nothing to pass over to new generations. It is only natural that this language fits this type of society perfectly. The limited number of words serves their limited worldview and they really do not need writing.

Again, this is similar to the society in *1984*: although technically there is writing and history, in fact there is no history in the true sense of the word – the objective record of historic events – and writing exists for completely different purposes, as the Ministry of Truth is busy rewriting history. As a result, even the main character himself is not sure what year it was or even how old he was.

### **The functions of the language of the Houyhnhnms**

For the purposes of the present analysis we will assume that any language has at least the following three basic functions:

Communicative – we use language to exchange ideas.

Cognitive – we use language to learn about the outside world and pass this learning to others.

Emotional – we use language to express our feelings.

Does the language of Houyhnhnms actually have any of these functions? Since there are practically no emotions in the lives of the “noble horses,” the third function is absent from their language. They do not feel joy, grief, love, or hatred – consequently, they do not need to express them.

The same is true about cognitive function. Since they have nothing to pass to their children, this function is totally lacking in their language. Knowledge does not get accumulated, and an attentive reader like Orwell could not help noticing that “Swift’s ideal beings are backward even in a mechanical sense.”<sup>17</sup>

Finally, the first and evidently the original function of the language is present in a very narrowed fashion. Not only their conversations are dealing with “nothing but what was useful, expressed in the fewest and most significant words,”<sup>18</sup> but more surprisingly for us, “they have a notion, that when people are met together, a short silence doth much improve conversation.”<sup>19</sup> Thus, not only do they have little to talk about, but *their idea of improved communication is to be silent*.

The language of Houyhnhnms has lost (or more probably, never had) all the basic functions that make language what it is – the principal means of communication. Since any society cannot normally function without a language, it means that the society of Houyhnhnms is dead as a society. This is exactly the conclusion that Orwell arrives at in his review: “the ‘Reason’ by which they are governed is really a desire for death.”<sup>20</sup>

This gloomy picture is very similar to the functions of Newspeak. Communicative function, in the true sense of that word, is absent in Newspeak. As one of Winston’s colleagues who works on the definitive edition of Newspeak dictionary tells him: “Don’t you see that the whole idea is to narrow the range of thought?”<sup>21</sup> The ultimate goal of Newspeak is to make the process of speech completely independent of thinking.

The same is true about cognitive function. Since the past is constantly altered, there is no question of accumulating any knowledge from the previous generations, and no authentic historical facts can be learned from any records or from reading “ideologically correct” editions of the writers of the past. Thus, “the Party has been able to arrest the course of history.”<sup>22</sup> The Newspeak society neither wishes nor is able to pass on any information to new generations.

As for the emotional function, it also exists in a very narrow fashion. The only emotion that is permissible and even encouraged is hatred. Any other emotion is virtually non-existent in the society, and consequently in the language. It is not by chance that Winston Smith finds it difficult to start his diary – he cannot find words, and when he does find them, they are expressing the same familiar emotion: *Down with Big Brother*, filing half the page with this phrase. But any other natural emotion is difficult (and forbidden) to express in Newspeak, which again reminds us of the conversations of noble horse, consisting mostly of silence.



In conclusion, it is important to mention one final detail about Swift. When analyzing what Gulliver tells us about the language and society of Houyhnhnms, it may be useful to keep in mind that Swift expresses his views on the English language in his famous essay “A Proposal for Correcting, Improving, and Ascertaining the English Tongue.” Comparing the two texts makes it possible to say that Gulliver, to some extent, is expressing Swift’s own views about the language and the views that Swift believed to be true. He was very much dissatisfied with the state of English: “Our language is extremely imperfect, its daily improvements are by no means in proportion to its daily corruption, the intentions to polish and refine it have chiefly multiplied abuses and absurdities; and in many instances it offends against every part of grammar.”<sup>23</sup> That is why Swift wished that “some method should be thought for ascertaining and fixing our language forever.”<sup>24</sup> This is also why Gulliver apologetically explains to the reader that it would be difficult to render his Houyhnhnm Master’s arguments “which must needs suffer by a translation into our barbarous English.”<sup>25</sup> In other words, Swift believed that English as deteriorating and suggested a way to improve (and fix) it. And while Orwell would hardly agree with Swift’s idea of how to fix the language, he definitely felt the same way about the state of English in his own time.

However, their ideas how to change the situation are vastly different: if Swift advocated “fixing and ascertaining the language,” Orwell saw language as one of the tools that could improve society: “The present political chaos is connected with the decay of language, and one can probably bring about some improvement by starting at the verbal end.”<sup>26</sup> Thus, the concept of Newspeak, while being an exaggeration and a part of a fictional society, is a warning to real societies and real languages, while the language and society of Swift’s noble horses, praised so highly by Gulliver-Swift, “had reached the highest stage of totalitarian organization.”<sup>27</sup>

#### Endnotes

<sup>1</sup> This paper is based, in part, on the analysis of George Orwell’s predecessors, which was initially presented in Chapter 1 of my book *George Orwell’s Theory of Language* (Writers Club Press, 2001).

<sup>2</sup> Orwell, George. “Politics vs Literature.” *The Collected Essays, Journalism and Letters of George Orwell*. Vol. 4. *In Front of Your Nose 1945-1950*. Penguin Books, 1970, p. 257.

<sup>3</sup> Orwell, George. *The Lost Writings*. Ed. By W.U. West. Arbor House, 1985, pp. 112-116.

<sup>4</sup> Orwell, George. “Politics vs Literature,” p. 253.

<sup>5</sup> Swift, Jonathan. *Gulliver’s Travels*. The Heritage Press, 1940, p. 263.

<sup>6</sup> Ibid, p. 273.

<sup>7</sup> Ibid, p. 276.

<sup>8</sup> Ibid, p. 307.

<sup>9</sup> See: C.K. Ogden and I.A Richards. *The Meaning of Meaning*. Harcourt Brace, 1927, p. 11.

<sup>10</sup> Orwell, George. 1984. Signet Classic, 1984, p. 256.

<sup>11</sup> Swift, Jonathan. *Gulliver’s Travels*, p. 327.

<sup>12</sup> Orwell, George. 1984, p. 40.

<sup>13</sup> Ibid, p. 139.

<sup>14</sup> Ibid, p. 246.

<sup>15</sup> Swift, Jonathan. *Gulliver’s Travels*, p. 313.

<sup>16</sup> Ibid, p. 264.

- <sup>17</sup> Orwell, George. "Politics vs Literature," p. 246.
- <sup>18</sup> Swift, Jonathan. *Gulliver's Travels*, p. 319.
- <sup>19</sup> Ibid.
- <sup>20</sup> Orwell, George. "Politics vs Literature," p. 255.
- <sup>21</sup> Orwell, George. 1984, p. 46.
- <sup>22</sup> Ibid, p. 177.
- <sup>23</sup> Swift, Jonathan. *A Proposal for Correcting, Improving and Ascertaining the English Tongue*. 1712, p. 8.
- <sup>24</sup> Ibid, p. 31.
- <sup>25</sup> Swift, Jonathan. *Gulliver's Travels*, p. 277.
- <sup>26</sup> Orwell, George. "Politics and the English Language," p. 169-170.
- <sup>27</sup> Orwell, George. "Politics vs Literature," p. 252.

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***“Swept Away . . . By an Unusual Destiny in the Blue Sea of August: Castaways in Love”***

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In her 1974 film, *Swept Away. . . By an Unusual Destiny in the Blue Sea of August*, Lina Wertmüller employs the “Robinsonade,” or castaway narrative to explore both timeless and contemporary issues: passion, power, class, and money. A wealthy married woman, Raffaella (Mariangela Melato) and a crewmember of her yacht, Gennarino (Giancarlo Giannini) openly hostile to each other, fall in love while marooned on an uninhabited island. Wertmüller, who wrote and directed the film, addresses the political unrest in Italy during its “Years of Lead,” but *Swept Away* transcends these topical issues, exploring with humor and also considerable pathos the tension between individualism and social constraints, and how people can contrive their own unhappiness. The “Robinsonade” is a liberating device to test both the characters and their values in an Edenic world that for a short time transcends the boundaries of history and culture. Before discussing the film in detail, it is important to take note this innovative filmmaker’s career and the context in which she created her cinema.

“Lina Wertmüller is the first woman to have become an internationally recognized filmmaker, and that in itself is a remarkable achievement” asserts critic John Simon in his “Introduction” to *The Screenplays of Lina Wertmüller* (vii). In a 1976 interview—at a time when prominent American film critics such as Vincent Canby, John Simon, and Jay Cocks had fallen in love with her movies—Wertmüller claimed that she was born “somewhere between 1812 and 1928, I’ll never say precisely” (*Time*, “The Irresistible Force and the Immutable Object” 107:February 16, 1976, 59). Born Arcangela Wertmüller von Elgg in Rome on August 14, 1928 (probably), Wertmüller insists that despite her heritage of German baronial descent, “I am a Roman of Rome” (*The Parables of Lina Wertmüller* 9). She entered the world of filmmaking, like many others, through an initial interest in theater, where she met her future husband, a talented set and costume designer, Enrico Job, and worked as an assistant to Federico Fellini in the early 1960s (*Parables* 10). At this time, she also met actor Giancarlo Giannini, who would star her most successful films. Four of these (a year or two after their earlier Italian release) caught the attention of American audiences: *The Seduction of Mimi* (1972), *Love and Anarchy* (1973), *Swept Away* (1974), and *Seven Beauties* (1975). Giancarlo Giannini is cast as the male lead in all four of these films; Mariangela Melato, cast as Raffaella in *Swept Away*, plays the female lead in three of the four.

Martin Scorsese recalls of *Swept Away*’s American debut: “It was a provocative cultural conversation piece, one everyone was talking about, one you had to see” (“Behind the White Glasses”). As a result of her rapid rise in popularity, Wertmüller was the first woman to be nominated for an Academy Award for Best Director for her 1976 film, *Seven Beauties*. In a May 3, 1992 interview for the *Washington Post*, when Martha Sherrill asked Wertmüller whether she were surprised to have been (at that time) the first woman nominated for Best Director, the quick-

witted Wertmüller quipped: “It surprises me even more that I didn’t win.” Courted by Hollywood, she agreed to make a series of pictures for Warner Brothers, but they parted ways by mutual consent after the first was released. While Wertmüller has continued to be a prolific filmmaker, her reputation rests largely on her early works.

“Lina is a top *furba*, a hard worker, and an intuitive pulse-taker of her nation’s concerns,” notes critic Gideon Bachmann after his interview with her for *Film Quarterly* (Spring 1977). He continues: “In the Italian cinema—and in this it is the most typical of its country—to be a *furbo* is a law of life” (3). Translated, this means that Italian cinema, to be commercially successful, frequently addressed current social issues. According to Gideon, in his remarks on Italian cinema in the 1970s: “Italy makes 250 films a year, and a good third of these are set in the present Italian calamity. To use the problems of unemployment, government corruption, poverty, fascism, church duplicity . . . and the whole gamut of Latin lassitudes as subject matter for films is so common here that Lina’s films don’t seem so different from her peers” (2). Why did Italians in the film industry place such a high premium on social messages in the cinema, and why, according to many Italian critics, did Lina Wertmüller not measure up to this standard? To answer this, we must take a brief look at the context of the 1970s.

At the end of the 1960s, a period of political unrest began in Italy and persisted into the 1980s; this became known as the “Years of Lead,” because of its extreme violence. The “Hot Autumn” of late 1969 saw political violence and protests in the north, especially in Milan: students occupied a Fiat factory, a Milanese policeman was murdered in November, and a bomb exploded in a bank in the center of the city in December of that year (known as the Piazza Fontana Bombing). This ushered in a series of political kidnappings, assassinations, and additional bombings and political extremism. Marxist activists, student radicals (notably the Red Brigade) and disgruntled laborers clashed with right wing socialists, such as the Christian Democratic Party. The most famous kidnapping and murder—that of former Prime Minister and Christian Democrat, Aldo Moro in 1978—was carried out by the Red Brigade, and this shook the foundation of an already unstable Italian government. Lina Wertmüller’s 1970s films were made in the midst of this tumultuous decade of terror, reflecting the politics of the day.

Wertmüller’s own apt description of *Swept Away. . . by an Unusual Destiny in the Blue Sea of August* is that of “Two people who meet outside of their social roles. And how as such, they can love each other. But as soon as the social structures return, this love of theirs begins to find it hard . . . to exist” (“Behind the White Glasses”). While its title conjures images of overwhelming passion found in paperback supermarket-checkout line romances—and this film has its share of steamy love scenes—it also portrays the clash of values in Italy, and ponders difficult questions about human nature—personal desire and social obligations—provided by its tripartite castaway plot structure. The Robinsonade introduced the motif of the castaway who is eventually rescued; Alfred Lord Tennyson’s influential 1864 poem, *Enoch Arden*, added the element of the titular castaway’s return to find that he has been displaced as husband and father by his best friend. This theme has been reworked in cinema several times, but interestingly, it sometimes uses the

inversion of the wife who returns instead of the husband, as in, for instance, *My Favorite Wife* (1940), starring Irene Dunne as the castaway who returns, Carey Grant as her husband, and Randolph Scott, the handsome man with whom she has been marooned for seven years. *Swept Away* employs this particular twist, although the time on the island is not as long, and the director uses this scenario to explore serious social issues. The film employs a tripartite structure, similar to Joseph Campbell's hero cycle.

The first 27 scenes of the screenplay provide us with the background that leads to what Campbell labels "The Call to Adventure," and separation from the culture. We meet the wealthy industrial heiress, Raffaella, who is enjoying a Mediterranean pleasure cruise with her husband and friends on a luxurious yacht, the *Esmerealda II*. Political posturing, arguments and counter-arguments, peppered with heated insults and profanity, are exchanged largely between the right-wing conservative, Raffaella and one of her leftist male guests. This group is comprised of idle rich who, despite their political banter, seem to be combating *ennui* with this idyllic escape to the natural beauty of unspoiled coves, debates, and late-night drinking and gambling. A competent *furba*, Wertmüller incorporates a number of topical political issues to ensure the film resonates with her Italian audience. Roberta Piazza provides a close analysis of these opening scenes as examples of "confrontational discourse in comedy," noting of the film's style: "Such a straightforward representation of conflict in which the verbal is comforted by the images is at times complicated by the presence of multiple characters, which involves a change of role on the part of the viewers" (*The Discourse of Italian Cinema and Beyond* 73). The other yacht inhabitants consist of the staff hired to accommodate Raffaella and her friends. Pippo (Aldo Puglisi), the foreman, and other crewmembers, act as sailors and servants. One of the crew, Gennarino, listens to Raffaella's invective against Communism and glares at her with hatred: "What a stare! Hey, look at him, he's trying to burn a hole through me with his stare! Clearly a member of the Communist Party!" Her opponent, Toti, replies: "A member? He's more than that, he's almost a leader of his town's committee" (187). This antagonism between the two escalates.

Raffaella deliberately provokes Gennarino: the coffee he serves is left-over and she wants fresh, the wine should be properly chilled, the spaghetti is overcooked and must be served *al dente*, he should change his shirt before serving meals because he smells bad. Furious, Gennarino complains to Pippo, who reminds him of the generous pay.



Raffaella's Revenge: "Anyhow, as we await the end, the revolution, let's try and make the spaghetti *al dente* . . . at least once."

Politics would seem to be everything to the unskilled, impoverished Gennarino; yet we see him sneaking a peek at the semi-nude sunbathing women (who act as though the all-male servants are invisible), and a deeper more sensitive side as he sings a traditional popular ballad, a sailor's song, on deck at night. Trouble starts when Raffaella, who has overslept until 7 p.m., insists that Gennarino row her out to a cove for a swim before sundown; she is sure they will meet up with the others who have gone ahead. The wind comes up, the motor on the little boat sputters and dies, and night sets in. The two are adrift, hostile, and isolated. Eventually, Gennarino gets the motor started, but by now they have no idea where they are; finally, they spy land and come ashore—castaways on a deserted island. They have passed through the threshold of adventure, and their tests begin.

The test and trials of the castaways, the second and longest part of the film, is comprised of scenes 28-65 of Wertmüller's script, which inverts the power relationship between Raffaella and Gennarino. Their plight augments the overt hostility that already exists; they exchange a comic barrage of insults as they explore the island. Raffaella futilely attempts to invoke her class dominance over this "typical southerner," a "Sicilian savage" and "Mediterranean macho male" who is "dark-skinned," an "ugly Abyssinian." Gennarino returns the insults of his northern, Milanese persecutor, calling her a "fascist bitch" and an "industrial whore." It is soon apparent that Raffaella cannot survive under these primitive circumstances; even procuring food is impossible on her own, and she becomes dependent on Gennarino, who can gather resources, fish and build a fire. First Raffaella resorts to her usual bullying tactics: she demands that he share his food. As John Simon notes: because she is "less than fulfilled in her marriage," she "uses power—a political force—as a substitute . . . Thus she bullies her male companions on the yacht with clever political arguments and endless disputations" (*Screenplays* x), a tactic she continues on the island.

When this fails, she attempts to bargain by offering monetary payment—which is absurd under these conditions—and finally, she must acknowledge that he has the upper hand. The woman alluded to later in the film as “the biggest ballbreaker on the Mediterranean” (253) is reduced to servitude and humiliation by the volatile political activist, Gennarino, who is savage, angry, and proud but sensitive. As Peter Bondanella notes, however, politics never obfuscate this story of genuine passion: “Nevertheless, it is the sexual relationship between these two representatives of very different classes which ensured the film its commercial success, and Wertmüller was well aware that such an unusual and sometimes risqué storyline would guarantee the film large audiences” (*Italian Cinema from Neorealism to the Present* 361).



A famished Raffaella tries to purchase food



Gennarino taunts Raffaella with his lobster dinner.

Because of her verbal abuse and apparent obtuseness, our sympathies in the beginning lie with Gennarino, but this soon changes when his harshness towards the now helpless Raffaella becomes increasingly pronounced. It is one thing to teach “Lesson number one: there is no money to buy the food . . . you’ve got to earn it,” (219) and to insist that she address him with respect, as “Mr. Carunchio.” When the hungry Raffaella reproaches him for tossing a tasty morsel of lobster into the fire and wasting it, he replies: “you people burn the apples, oranges and vegetables to keep the price of vegetables and fruits at a certain level” (219), one of many lessons in economics Raffaella learns. Our sympathies shift, however, when Gennarino becomes too aggressively sadistic, tormenting Raffaella, a sympathy that later achieves a balance when the power relations between the two transform into genuine passion, deep love and fulfillment. As John Simon asserts: “Politics has become sexualized and, to even coin a word, lovified” (*Screenplays* x). During this idyllic interlude, Wertmüller takes full advantage of the beautiful *mis en scene* and ample close-ups of these extraordinarily talented leading actors. We alternate between majestic sweeping shots of the blue sea, the white sand dunes, the vastness of the space that surrounds the lovers, and intimate close-ups of them locked in an embrace; on one occasion, Raffaella sleeps in his arms as a worried Gennarino, desperately in love, gazes out to sea, apparently contemplating how he can preserve the paradise of that moment. Sexual as well as domestic scenes reveal their growing intimacy. His character becomes softer, even more “feminine,” and hers becomes more content, thoughtful. Married already in their other lives, they perform their own wedding ceremony in



which Raffaella fastens her earring onto his ear. She gathers flowers and decorates his body as he sleeps. One night she whispers, “Darling, you are the original man who nature meant for us women before everything changed” (245).



A pensive Gennarino, desperately in love: will the moment last?

On one occasion, she sees a yacht nearby and refuses to signal it. For him, however, there is always a nagging doubt about her sincerity. What if the sea had not brought them their “unusual destiny”? “I would have been the poor dark one and you the rich white one. You would have been the grand lady and I would have been the disgusting servant.” “I didn’t know a thing then. I never loved before in my life!” she insists. Gennarino replies he would love to see her “with this peasant walking around Milan” (247-48). At last the day arrives when both Raffaella and Gennarino espy a second yacht approaching. She pleads with him to ignore it, to hide if necessary, but Gennarino needs “proof” of her love. “What other proof do you need? The way we are now is as if we were born here. The structure of society is such that it could easily change us back to the way we were.” But he wants to know if “Lady Raffaella Pavone Lanzetti thinks along the same lines as you do.” Cassandra-like, her desperate reply is: “What does it matter how we were before? What’s happened to the two of us is a miracle. It’s a once-in-a-lifetime thing. Why go back to the old way of things? It’s a deforming, horrible mechanism which will destroy us! Please, let’s stay, my love!” Gennarino observes: “You’re frightened,” and insists, “That’s why I want proof” (251-252), a fatal mistake for their love, one that seals their fate.





Gennarino demands proof of Raffaella's love. Raffaella implores him to ignore the vessel.

Part III of the film, the return, consists of scenes 66-77. Vacationers on a French yacht rescue the castaways, and Raffaella's husband (Riccardo Salvino) arrives by helicopter, after which we see a short reunion aboard the *Esmerelda II*. They dock at a small fishing village, where the film concludes. Raffaella meets Gennarino's wife (Isa Danieli), who arrives ecstatic, having learned of his survival, while Gennarino awaits his "proof." He is insulted when his wife presents a check for one million lire, given to her by Raffaella's husband, a "tip." From a local jeweler he purchases a ring in exactly that amount, a large topaz set in twenty diamonds. "An engagement ring?" the jeweler inquires. "No, a divorce ring" is Gennarino's answer (259-60). Under the suspicious eye of her husband on the veranda at the yacht club, Raffaella is called to the telephone. It is Gennarino, speaking to her from a gas station across the street. He sends a young boy with flowers and the ring, watching her response. Even though "she failed the test," he says he doesn't care—his friend, who owns a small fishing boat, aptly called the *Santa Rosalia*, is willing to take them back to the island at sunset. When she declares tearfully that she loves him "more than ever," he believes she will elope with him, saying proudly to himself after they hang up: "Do you understand now, Lady Raffaella, who Gennarino Carunchio really is?" (262)

As he awaits her arrival at the pier, the boy returns with a note from Raffaella; he races towards the main pier only to see her whisked away with her husband in a helicopter. This betrayal makes Gennarino revert to type: cursing Raffaella and falling back on his ideological condemnation of the rich. His wife, who witnesses this moment of agony, physically assaults Gennarino, threatening divorce. Cursing both women, Gennarino also claims, "and what's more, the sea is a traitor, how can a man live like this?" (265) Somewhat superstitious despite his Marxist ideology, the sailor in Gennarino believed the sea had brought him a boon, good fortune, in being marooned with Raffaella. Now it has betrayed him; he tosses Raffaella's earring into the sea. However, the bitter truth is that Gennarino, having tasted the fruits of Eden, has caused his own exile, and must now return to his former dismal life, more miserable with the knowledge of the happiness he foolishly threw away. The final scene shows him trailing after his wife on the pier, hauling a heavy trunk in his return to his former life, left, as he has said "all alone, alone" (264).

Wertmüller's moving, lyrical story of two lovers who are afforded a glimpse into paradise, only to experience its loss due to the hero's own contrivance, resonates with tragic truth, and is the reason why *Swept Away* transcends issues of politics. It may be a dark Italian comedy, but the truth it recognizes is one that these lines from Romantic poet John Keats capture so well: "It is a flaw / In happiness to see beyond our bourne-- / It forces us in summer skies to mourn; / It spoils the singing of the nightingale" ("Epistle to John Hamilton Reynolds"). The magic spell of transformative love—that unusual destiny in the blue sea of August—ends with more questions than answers, but it is a haunting old story that continues to enthrall.

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## Walter Tevis's *The Man Who Fell to Earth* (1963) as Robinsonade

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*The Man Who Fell to Earth* (Walter Tevis, 1963) is a bitter, despairing account of Thomas Jerome Newton, an alien who comes to Earth hoping to save the last few members of his dying species. Despite his long *askesis*, or special training, Newton fails in his mission, and becomes an “endling”, a term that refers to the last individual of its kind. Once an endling dies, the species becomes extinct.

Walter Tevis' novel therefore can be understood as a mythic narrative of quest and failure, a fall or descent into hell with no hope of a return to paradise. At the novel's conclusion, the frail alien protagonist, Thomas Jerome Newton, has been blinded and abandoned by all who knew him, enacting the torment of the mutilated Greek prophet Tiresias. Likened to “a delicate, fluttering, anguished bird” at the story's end, Newton has become the “tattered coat upon a stick” of W. B. Yeats's ‘Sailing to Byzantium’ (1927), a “paltry thing” that is “sick with desire”, exiled from home and unable to attain love. Years later, when asked what the novel was about, author Walter Tevis (1928-1984) replied simply, “alcoholism.” However, the novel's title, *The Man Who Fell to Earth*, intentionally alludes to the tragic myth of Icarus, a parable of spectacular overreach and failed ambition, one of the novel's central themes. In order to reinforce the story of Thomas Jerome Newton with that of Icarus, the novel's first part is called “Icarus Descending”. Pieter Brueghel's painting, *Landscape with the Fall of Icarus*, is explicitly mentioned in this first section of the novel. I should point out that the title given to the novel's third part, “Icarus Drowning”, would seem to be an allusion to the last line of William Carlos Williams's poem, “Landscape with the Fall of Icarus” (1962), also inspired by Brueghel's painting:

unsignificantly  
off the coast  
there was  
a splash quite unnoticed  
this was  
Icarus drowning

Still, it is the richly descriptive poem by W. H. Auden, “Musée des Beaux Arts” (1939), that is actually cited in the novel, specifically the poem's second stanza:

In Breughel's Icarus, for instance: how everything turns away

Quite leisurely from the disaster; the ploughman may

Have heard the splash, the forsaken cry,  
But for him it was not an important failure; the sun shone  
As it had to on the white legs disappearing into the green  
Water; and the expensive delicate ship that must have seen  
Something amazing, a boy falling out of the sky,  
Had somewhere to get to and sailed calmly on.

Auden's poem cannot properly be called ekphrastic (a verbal description of a visual object), because Auden is not, strictly speaking, describing the painting but rather what he believes the painting dramatizes—people's indifference to the suffering of others.

From whence has the mysterious Thomas Jerome Newton "fallen"? We are never told, precisely, but he does confirm that his home is located in our solar system. He thinks of his home planet as "Anthea" (Greek: *Antheia*), meaning "flower" or "blossom". Anthea is the goddess of flowers and flowery wreaths, but the planet Anthea is to Newton "a cold place, dying; but one for which he could be homesick, a place where there were people whom he loved..." Is it possible that "Anthea" is play on "Athena", the powerful goddess who is the favored child of Zeus? Tiresias was the son of Chariclo (*Khariklo*), one of Athena's favorite nymphs. When Newton is asked if he comes from Mars, he replies evasively, "Does it make any difference?" But as the editors of *The Encyclopedia of Science Fiction* correctly observe, "Anthea itself is never explicitly identified, but it is indicated that the world is arid and located within our own solar system; the only plausible candidate is Mars."<sup>1</sup> Tall (six feet six inches, or 198 cm), thin and frail, Newton's frame is "improbably slight". His general physiognomy reminds one character of the awkward, gangly, ill-proportioned Ichabod Crane. He is described as having "bird-like bones", and during his slow recovery after having his leg shattered by the sudden acceleration of a hotel elevator Newton is described as looking like a "half-broken baby bird that had fallen from a nest". Moreover, even after two years on Earth, he tires easily and his body remains "gravity-sensitive". Newton's long, spindly, fragile body, in short, suggests that his home planet Anthea has a lesser gravity than Earth.

His home planet also has a lower temperature than Earth, again suggesting a cold, arid world such as Mars. For instance, early in the novel Newton realizes he has made a mistake after having traveled to Louisville, Kentucky in the summertime in order to purchase office space for his corporation, World Enterprises. Arriving when the local temperature is over ninety degrees, we learn that he is physically unable to perspire because his body was "designed for temperatures in the forties." (A few of the patents Newton has brought with him from Anthea are for vastly improved air-conditioning units that are also noiseless.) The heat makes him "sick almost to unconsciousness" and only with considerable effort is he able to walk from his limousine to the hotel lobby, where he goes immediately to his room and adjusts the temperature to very cold.

In fact, Newton often struggles to maintain his consciousness given the constant physical pain he endures as a consequence of Earth's stronger gravitational pull. Indeed, it is because of his ever-present pain and physical suffering that he turns to alcohol for relief. For like the castaway Robinson Crusoe, Newton often faints, is constantly nauseous, frequently vomits, believes he is going insane and cries in despair. Like Robinson Crusoe, Newton – despite the vast wealth he acquires – struggles to survive both physically and psychologically. Also like Robinson Crusoe, he makes his home in a “delicious vale” – Newton's beautiful valley is in Eastern Kentucky, where he builds his home near a lake – and for company Newton, as does Crusoe, has cats and keeps a parrot. Unlike the islander, he has no dog as a companion. To suggest a genre for *The Man Who Fell to Earth*, the novel profitably can be considered a “Robinsonade”, a story about an individual's improbable survival in a presumably inhospitable place, a tale inspired by Daniel Defoe's *The Life and Strange Surprising Adventures of Robinson Crusoe* (1719). When remotivated as science fiction, Crusoe's island is usually replaced by a planet (or moon), as in Rex Gordon's novel *No Man Friday* (1956), in which the planet is Mars, just as it is in Byron Haskin's film, *Robinson Crusoe on Mars* (1964), and in Ridley Scott's *The Martian* (2015), the latter a Robinsonade based on Andy Weir's 2011 novel. The twist is that rather than Mars Newton is stranded on Earth.

Scholar Maximillian E. Novak, who has written extensively on the work of Daniel Defoe as well as on Defoe's series of Crusoe novels, defines the Robinsonade not simply as a story of mere survival but rather as “the story of one or a few people building a society”, a definition that is quite amenable to the idea of world building or planetary colonization in the science fiction genre.<sup>2</sup> In this sense, *The Man Who Fell to Earth* may be considered the story of a failed planetary colonization. In the novel, Thomas Jerome Newton's quest on Earth is to build a spacecraft (a “ferry boat,” as he calls it) that will be of sufficient size to transport his fellow Antheans (fewer than three hundred remain) to Earth from his destroyed planet, which has been devastated by “radioactive weapons”.<sup>3</sup> In exchange, the Antheans would bestow upon humanity the benefits of their advanced science and technology. By no means are the Antheans invaders like the Martians of H. G. Wells' *The War of the Worlds* (1898), but the *quid pro quo* arrangement would require the Antheans to insinuate themselves within human governments and economic institutions. They would become the benign hidden manipulators guiding the Earth's future, doing so in order to ensure the Earth's survival against its almost certain destruction by human beings. However, in a candid moment, Newton confesses to Nathan Bryce that he's not at all sure the plan will work – he says he doubts its “final worth.” He fears that he and his fellow Antheans will not be able to survive on Earth, not because of environmental factors, but for psychological reasons. Disturbed by the realisation that despite his study of human beings for fifteen years (primarily through television) prior to undertaking his journey, there are massive gaps in his understanding of human culture and society and he therefore feels that he will never fully adjust to life on Earth. Deracinated, ill prepared for daily interaction with people, unable to cope with human unpredictability, he believes that he is slowly going insane. So, too, will his fellow Antheans, so he believes, if he would continue his ferry boat rescue mission and bring them to Earth.

In any case, things do not go according to plan and Newton's mission fails. He discovers that he had been under surveillance by both the FBI and CIA soon after his clandestine landing on Earth and that government spies had infiltrated his World Enterprises Corporation. He is placed under arrest, imprisoned, and his space program, whose purpose was to build the ferry boat that would rescue his fellow Antheans, is ultimately dismantled. Released once the authorities no longer consider him to be a threat to the social order, he finds himself exiled from home and family, of no further interest to government authorities or his former human associates and without the means to return to his home planet. Novak observes about Robinson Crusoe what can also be said about Thomas Jerome Newton: "His longing for 'but one' human being to fill the void of his isolation is an extreme and concrete example of the psychology of those who, amid a mass of foreign beings, speaking a strange language, ache for a return to their place of origin."<sup>4</sup> Exile becomes the permanent condition of Thomas Jerome Newton. He tells Nathan Bryce, "I'm afraid I'm a permanent exile here," when asked by Bryce how he will return home. According to the original plan, he was never to return home: the spaceship ferry boat would be guided by Anthea using remote control. And so, unlike Robinson Crusoe, who is saved by sheer luck by a passing ship bringing his story to a happy conclusion, Newton's story has no happy ending and he remains stranded on this island, Earth. At the end of the novel Newton – to employ a phrase by Slavoj Žižek when describing the vampire of Werner Herzog's *Nosferatu* (1979) – is "a melancholic sufferer longing for salvation."<sup>5</sup>

We are told about Newton in the novel's first pages that, "He was not a man; yet he was very much like a man," suggesting the peculiar alterity (or "otherness") of Thomas Jerome Newton. Is he an angel, or rather, a fallen angel? Brian McHale avers that the "modeling of aliens on angels is no innovation . . . on the part of Walter Tevis. . . . On the contrary, the interchangeability of angels and aliens is a commonplace of the post-modern era. . . . Angels *are* aliens; or at least, angels and aliens are functionally equivalent in popular culture. (McHale's emphasis)"<sup>6</sup> Is it possible that Tevis had in mind the tall, thin, angular British actor Michael Rennie, 6 feet 4 inches tall (193 cm) as the distant model for Thomas Jerome Newton? After all, Newton carries a British passport. Michael Rennie, of course, played the alien visitor Klaatu in *The Day the Earth Stood Still* (Robert Wise, 1951), a film in which the angelic aspect of a close encounter with the alien Other – a heavenly messenger bearing a disturbing warning from on high – is made explicit. Newton's quest is not unlike Klaatu's. Both bring the gift of advanced technology and both have come to Earth in an attempt to save it from destruction. Recall Klaatu's final speech: "Your choice is simple: join us and live in peace, or pursue your present course and face obliteration." Newton doesn't threaten the Earth with annihilation, but he does state in the strongest terms that the Antheans are "a great deal wiser" than human beings – indeed, are "much wiser than you may imagine" and that they therefore should become the caretakers of Earth. Klaatu divulges the purpose of his visit to Professor Barnhardt, while Newton discloses the purpose of his mission to Professor Bryce. Both Newton and Klaatu receive assistance from a human female, to whom they reveal their true identity. However, the crucial difference between them is that Newton is neither a scientist nor a savior.

In the novel's melancholy final chapter, set seven months after Newton is set free by the authorities and Newton's public statement that he has abandoned his space program, Nathan Bryce tracks down the blind, dissipated Newton – now sporting a fedora and dark glasses – in an old coffeehouse become liquor bar called The Key and Chain located in Greenwich Village. He is able to locate Newton through the production information included on a record Newton has made, "poems from outer space", that he happened to find in a clearance bin in a Walgreen's drugstore in Louisville, Kentucky. Promoted as "seven out-of-this-world poems by a man we call 'the visitor'",<sup>7</sup> Newton reveals to Bryce that the record does not include poems in the Anthean language at all, but is really a kind of letter to his wife and to "the wise people at my home who trained me for . . . for this life." He tells Bryce he had hoped the record would get some airplay on FM radio, because the FM signal "goes between planets" and therefore his letter might reach home. When asked what it says, Newton replies, "Oh, 'Goodbye.' 'Go to hell.' Things of that sort." In other words, Newton's record is an act of desperation, analogous to tossing into the ocean a message in a bottle hoping that it will somehow find its way home. However, if the record is never played on FM radio – and that is the implication given the fact that his record has not sold and hence has been remaindered – one is forced to conclude that Newton's parting statement will forever remain unheard by those back home.

I stated earlier that Newton reenacts the torment of the blind Greek prophet Tiresias, but Tiresias is, in a sense, the double of Oedipus (at least the Tiresias of *Oedipus the King*), as both represent an enigma in the duality of their being.<sup>8</sup> I should point out that the name "Thomas" is derived from the Hebrew for "twin," suggesting Newton's duality. In a way, Newton's short time on Earth follows the broad contours of the story of Oedipus: his most vital secret, his identity, is revealed; he is blinded; and he becomes an exile. Newton's arrogance is startling, even to the novel's bitter end, as he adamantly adheres to his belief in his innate superiority over human beings: "Nathan, think of living with monkeys for six years. Or think of living with the insects, of living with the shiny, busy, mindless ants." I am forced to conclude that Creon's admonition to Oedipus in Sophocles' play seems equally applicable to Thomas Jerome Newton, despite our sorrow for Newton's pitiful state: "Do not seek to be master in everything, for the things you mastered did not follow you throughout your life."

The time span covered in the novel narrates four years of Newton's life on Earth. The period 1972–1976 was used in all editions up through 1976; subsequently, prior to the 1981 Bantam paperback edition of the novel, Tevis revised the time period and slightly emended the internal references to conform to this revision. All subsequent editions have followed the revised time period first introduced by Tevis in the 1981 Bantam edition.

1972: *Icarus Descending* [1981 Bantam: 1985]

I: November. Newton has been on Earth two days.

II: Newton has been on earth two months. He meets with Oliver Farnsworth.

VI: Newton has been Earth more than two years. Meets Betty Jo (Mary Lou in the film).

VII: Four weeks after meeting Betty Jo. We learn that she is 40 years old.

X: Newton's activities cover the next several months.

1975: *Rumplestiltskin* [1981 Bantam: 1988]

I: November. Three years after Newton lands on Earth.

II: Reference in televised speech to the upcoming 1976 Bicentennial. Omitted in Bantam Ed.

III: Betty Jo Mosher meets Nathan Bryce. She tells him she's been with Newton for a year.

V: Flight to Chicago on Christmas morning. Newton arrested upon return to Kentucky.

VI: Newton has been confined for two weeks (January). Imprisoned near Washington, D.C.

VIII: The second month of Newton's confinement, February 1976.

IX: Newton is blinded by an X-Ray photograph taken of his eyes.

X: Six weeks later. Released from a hospital, late March 1976.

1976: *Icarus Drowning* [1981 Bantam: 1990]

I: Seven months later, October 1976.

I should note that Walter Tevis completed *The Man Who Fell to Earth* in Mexico in the spring of 1961 where he had moved in the fall of 1960 to join a writer's colony at San Miguel. How he ended up in a writer's colony in San Miguel requires an explanation. After several years teaching high school English, Tevis sought a master's degree in English from the University of Kentucky in 1956 and subsequently took a job as an editor for the Kentucky Highway Department, during which time he completed his first, and highly successful, novel, *The Hustler* (1959). With *The Hustler*, Tevis would later claim that he introduced two famous expressions indelibly etched into the language of American popular culture: "Minnesota Fats" and "born loser."<sup>9</sup>

After teaching English from 1958–1959 at the University of Kentucky branch in Covington, Tevis realized he needed a Ph.D. in order to continue teaching English at the college level. He moved his family to Iowa City, Iowa, in fall 1959, where he enrolled in the State University of Iowa (commonly referred to as The University of Iowa). He began taking classes in the Iowa Writers Workshop, then under the directorship of Paul Engle, the man responsible for establishing the international reputation of the Workshop. According to Jamie Griggs Tevis, Walter Tevis' first wife, like all the young writers enrolled in the Workshop, Tevis "dreamed of



going to Europe to write” like one of his and his fellow students’ idols, Ernest Hemingway.<sup>10</sup> Rather than move the family to Europe, however, Jamie Tevis convinced her husband to go to Mexico, although doing so would interrupt his coursework at the university.

And so, in August 1960, Walter Tevis packed up and left Iowa City for San Miguel with the manuscript for an uncompleted novel, *The Immigrant*, which was to become *The Man Who Fell to Earth*. Precisely how much of the novel had been completed by that point is uncertain, but it can be assumed that the novel was at the very least half completed by August 1960. For instance, in chapter two of the novel’s second part (“Rumplestiltskin”), Newton is watching a televised speech by the President of the United States who insists, “The United States, regardless of what the uninformed may say, is *not* a second-rate power.” This passage alludes to a speech given by then President Dwight D. Eisenhower on July 26, 1960, delivered at the Republican National Convention in Chicago. President Eisenhower said: “In the sum of our capabilities we have become the strongest military power on earth. But . . . we have a cult of professional pessimists who, taking counsel of their fears, continually mouth the allegation that America has become a second-rate military power.”<sup>11</sup> And, early in the novel, Nathan Bryce, a widowed professor teaching at a Midwestern university named “Pendley State University” in Pendley, Iowa, visits a bar named Henry’s that is crowded with college students. Folk music is playing, and Bryce looks about the bar at the “bearded and fashionably shabby” students, most of them “Nebraska and Iowa farm boys . . . signing disarmament petitions, discussing socialism.” Given its setting and internal topical references, it can be concluded that Tevis began writing the novel sometime after moving to Iowa City, early in 1960 and worked on it steadily throughout August 1960.

The novel’s sensibility seems to be that of the 1950s Beat era, but I would hesitate to call Walter Tevis a Beat writer. The novel’s pervasive pessimism, its fear of imminent nuclear annihilation, its general dissatisfaction with American xenophobic culture and the culture’s spiritless hedonism and genteel bourgeoisie morality, reveals that it emerged from the 1950s. In the novel’s first part, after having been on Earth more than two years, Newton feels “disgusted, weary of this cheap and alien place, this loud, throaty, rootless, and sensual culture, the aggregate of clever, itchy, self-absorbed apes – vulgar, uncaring, while their flimsy civilization was, like London Bridge and all bridges, falling down, falling down.” Later, several weeks after meeting Betty Jo, a disenchanted woman from Kentucky who becomes Newton’s “girl Friday” (with whom he has no sexual relationship, unlike the film) and who introduces him to alcohol, he thinks of the lessons that Betty Jo has taught him: “She had taught him to drink gin; and she had shown him an aspect of strong and comfortable and hedonistic and unthinking humanity that his fifteen years of studying television had left him unaware of. . . . He felt like a man who has been surrounded by reasonably amiable, silly, and fairly intelligent animals, and has gradually discovered that . . . the animals who surround him and who foul their own lairs and eat their own filth might be happier and wiser than he.” The novel’s sense of disillusionment certainly belonged to Walter Tevis, but other writers who began their careers in the 1950s shared this same disillusionment with American culture as well.

In San Miguel, on or about December 14, 1960, Tevis signed a contract with Harper & Brothers (publisher of *The Hustler*) for a second novel, for which he received a \$450 advance. According to Jamie Tevis, “Walter’s goal was to go to Mexico and write a book or at least finish *The Man Who Fell to Earth*. . . . Days stretched into days and nights into nights, and a couple of weeks before coming home he decided he’d better finish the book.” She goes on to write, “Mexico was a turning point in our lives. By Walter’s own admission, he went from a daily drinker to alcoholic drinking.”<sup>12</sup> On April 29, 1961, Walter Tevis and his family left Mexico and within a few days returned home to Iowa City. I believe the novel was completely drafted by this date.

However, sometime later that year Harper & Brothers rejected the manuscript for *The Man Who Fell to Earth*. Whether this rejection undermined Tevis’s confidence as a writer is difficult to determine, but the fact is he did not publish another novel until *Mockingbird*, in 1980, seventeen years after the publication of *The Man Who Fell to Earth*. Certainly, his growing alcoholism was undermining his writing career at that point and the bright promise suggested by the success of his first novel, *The Hustler*, was squandered.

Eventually, Gold Medal Books, an imprint of Fawcett Books, published *The Man Who Fell to Earth* as a paperback original, in February 1963, roughly a year and a half after it was completed. Tevis’s novel joined the list of other significant novels published in the first half of 1963, including Sylvia Plath’s *The Bell Jar* (under the pseudonym “Victoria Lucas”), Thomas Pynchon’s *V*, Kurt Vonnegut’s *Cat’s Cradle*, John Fowles’ *The Collector* and Pierre Boulle’s *La Planète des Singes* (*Planet of the Apes*). Had *The Man Who Fell to Earth* been published by Harper & Brothers in hardcover, its critical reception likely would have been more positive and extensive, as would have been the subsequent career of Walter Tevis. We shall never know. Most certainly it never received the recognition *The Hustler* received, although the critical contempt for science fiction at that cultural moment certainly played a role in its initial reception. According to Walter Tevis, the sales were mediocre for a paperback; roughly 300,000 copies were sold.

Some years after the Gold Medal Books paperback went out of print, Lancer Books reissued *The Man Who Fell to Earth*, also in paperback, in 1970. Curiously, the Lancer reprint omitted the dedication included in the first edition, as did the Avon paperback issued in 1976 to coincide with the release of the film: “For Jamie who knows Anthea better than I,” as well the great epigraph by Hart Crane, the fifth stanza of Crane’s final poem, “The Broken Tower” (1932):

And so it was I entered the broken world  
To trace the visionary company of love, its voice  
An instant in the wind (I know not whither hurled),  
But not for long to hold each desperate choice.

It happens that this same stanza of Hart Crane's poem was used by Tennessee Williams, a deep admirer of Crane's poetry, as the epigraph for his famous, Pulitzer Prize-winning play *A Streetcar Named Desire*, published by New Directions in 1947. How well Walter Tevis knew the work of Tennessee Williams is difficult to determine, although both authors certainly belong to the American tradition of self-destructive genius. Tevis may have been inspired by the fragile, crippled Laura of Williams' play *The Glass Menagerie* (1944) for his character Sarah Packard, the polio-crippled, doomed "born loser" of *The Hustler*. In addition, Sarah Packard's psychic demolition by Bert Gordon in *The Hustler* is similar to what the brutal Stanley Kowalski does to Blanche DuBois in *A Streetcar Named Desire*. Hence it seems improbable that Tevis would choose precisely the same quatrain as an epigraph for his novel unless he knew Williams' play. In both works, the epigraph points to the terrible fate of their protagonists, Blanche DuBois and Thomas Jerome Newton.

Just as Tennessee Williams identified with Blanche DuBois, so too did Walter Tevis identify with Thomas Jerome Newton. Tevis claimed *The Man Who Fell to Earth* was actually disguised autobiography. According to Jamie Tevis, in 1938 Tevis' family relocated from Oakland, California to Kentucky, where for financial reasons they went to live with his father's sister. At the time, Walter Tevis was ten years old and ill, having contracted rheumatic fever. A doctor convinced Tevis's family to admit him to the Stanford Home for Convalescent Children, a hospital established in Palo Alto in 1919 to care for children with long-term illnesses such as polio, tuberculosis and rheumatic fever. The doctor felt the children's hospital was where the ten-year old Tevis "would receive the best in free medical care." She continues:

It was a difficult decision [for the family] to make; but considering the long ride across country, the lack of money, the cost of treatment, and the uncertain living conditions when they arrived in Kentucky, they decided to leave Walter behind.<sup>14</sup>

Abandoned by his family as a ten-year old child, he was kept in a hospital bed for a year. Every two weeks he was subjected to an experimental medical treatment that raised his "internal body temperature to 107 degrees and caused him to have convulsions. . . . He prayed to die." To keep him and other the other patients quiet, they were routinely given phenobarbital, a barbiturate used to treat insomnia, to reduce anxiety and to control certain types of seizures. Tevis admitted that he "loved" the phenobarbital, which he averred is how he got his love for alcohol. "After a year in the hospital," writes Jamie Tevis, "he was a tall, skinny eleven-year-old with low self-esteem."<sup>15</sup> At the time he was dismissed from the hospital, in 1939, his parents hadn't the financial means to purchase his train ticket, so a family friend purchased it instead. Although reunited with his family in Kentucky, he found himself an immediate outsider in the public schools. Tall and frail, but very intelligent and perceptive, he was bullied by his classmates and told Jamie Tevis that after moving to Kentucky he felt like an alien. Very early in *The Man Who Fell to Earth*, Newton is suddenly overwhelmed by the utter strangeness of his new environment, Earth. Newton's suddenly alienated perceptual world may well have been experienced by Walter Tevis

himself, soon after his relocation to Kentucky: “it suddenly came over him in one crushing shock – the strangeness of it, the danger, the pain and worry in his body – and he fell to the ground and lay there, his body and his mind crying out against the violence that was being done to them by this most foreign, most strange and alien of all places.” Tevis, like his fictional creation Thomas Jerome Newton, intimately understood the experience of alienation.

“Walter’s memories of California became the planet Anthea,” Jamie Griggs Tevis writes “Walter always talked of the experience as if it had happened to someone else. In his head he was aware that it had a great effect on his life, and during the time I knew him he was never able to deal with the pain. . . . The physical scars left from the illness were a weakened heart and some uncontrolled movements of his hands and body called St. Vitus’ Dance. . . .<sup>16</sup> When I met him [in 1952], he appeared healthy except for a slight tremor in his hand when he lighted a cigarette.”<sup>17</sup> In the last chapter of *The Man Who Fell to Earth*, Nathan Bryce notices a tremor in Newton’s hand when he pours a drink. Newton’s aversion to hot weather seems an aspect of his physiology derived from the experimental medical treatments Walter Tevis received as a child, one of the “disguised” autobiographical elements in the novel. Tevis’ tall, skinny frame and stooped posture prompted his high school students to nickname him Ichabod Crane. Nathan Bryce believes there is “an Ichabod Crane look” to Newton when seen in profile. In addition, Sarah Packard, the polio-crippled born loser of *The Hustler*, may also have autobiographical dimensions, as she claims to be a writer—but prefers to drink instead.

#### Endnotes

1. See the entry on Walter Tevis in the online version of *The Encyclopedia of Science Fiction*, [http://www.sf-encyclopedia.com/entry/tevis\\_walter](http://www.sf-encyclopedia.com/entry/tevis_walter).

2. Maxmillian E. Novak, *Transformations, Ideology, and the Real in Defoe’s Robinson Crusoe and Other Narratives: Finding “The Thing Itself”*, Newark: University of Delaware Press, 2015, 114.

3. The Antheans wish to come to Earth in order to avoid the extinction of their species. Newton informs Bryce that Anthea once had “three intelligent species and seven major governments,” but after five wars fought with “radioactive weapons,” two of these species were eradicated. Newton reveals to Bryce that Anthea has “almost no water, no fuel, no natural resources,” but also says the planet is littered with “atomic rubble.” Strictly speaking, Newton’s mission is motivated by his hope to prevent the fewer than three hundred Antheans from becoming extinct, not because of “drought.” In fact, the word is never mentioned. A great deal of criticism on the film adaptation of *The Man Who Fell to Earth* avers that Newton motive for coming to Earth is because his planet is suffering a severe drought, suggested by a brief scene in which a green pasture dissolves into desert sands, and the implication that the Anthean body suits seem designed to conserve water (which could also simply suggest the planet is hot, or rather an area of the planet that is hot and dry). However, these kinds of visual details don’t so much “mean” as contribute to an overall atmosphere. In the novel, Newton says that the Antheans have “feeble solar power” because of the distance of their planet from the sun, no remaining

hydroelectric power and “almost no water,” but the broader issue is the exhaustion of formerly plentiful natural resources. Yet it is the years of atomic war that has made the planet uninhabitable, not drought.

4. Maximillian E. Novak, *Transformations, Ideology, and the Real in Defoe's Robinson Crusoe*, 186.

5. Slavoj Žižek, *Looking Awry: An Introduction to Jacques Lacan through Popular Culture*, Cambridge, MA: MIT Press, 1992, 23.

6. See Brian McHale, “What Was Postmodernism? or, The Last of the Angels”, in Silke Horstkotte and Esther Peeren, Eds., *The Shock of the Other: Situating Alterities*, Rodopi, 2007, 48.

7. Tevis seems to have in mind albums of Beat-inflected or “beatnik” spoken word poetry released in the late 1950s and early 1960s such as Ken Nordine's, *Word Jazz* (1957), *Son of Word Jazz* (1958), and *Love Words* (1958).

8. See Rebecca W. Bushnell, “Speech and Silence: *Oedipus the King*”, in Harold Bloom, Ed., *Sophocles' Oedipus Rex*, Updated Edition, New York: Chelsea House Publishers: 2007, 96. While the name Thomas means “twin,” the name “Jerome” is derived from the Greek name “Hieronymous.” Hieronymous Bosch was a noted 15th-century Dutch painter known for his depictions of the torments of hell.

9. Jamie Griggs Tevis, “Walter Tevis: Recollections of ‘The Hustler’”, *The Kentucky Review* 10:3 (Fall 1990), 35

10. Jamie Griggs Tevis, *My Life with The Hustler*, 71

11. The text of President Eisenhower's 1960 speech can be found online at *The American Presidency Project*, <http://www.presidency.ucsb.edu/ws/?pid=11890>

12. Jamie Griggs Tevis, *My Life with The Hustler*, 107-108. Remember Tevis's response when asked what the novel was about: “alcoholism”.

13. Jamie Griggs Tevis, *My Life with The Hustler*, 113

14. Jamie Griggs Tevis, *My Life with The Hustler*, 33

15. Jamie Griggs Tevis, *My Life with The Hustler*, 35

16. Although referred to as “St. Vitus' Dance”, the medical term for the condition is Sydenham chorea, characterized by involuntary movements in the facial muscles, abdomen, hands and feet. Sydenham chorea occurs in roughly 25% of patients who have been infected by the bacterium that causes acute rheumatic fever, as Walter Tevis had been. The symptoms are most prevalent in children over 5 years old and in adolescents.

17. Jamie Griggs Tevis, *My Life with The Hustler*, 34, 35-36

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Portions of this paper were previously used in Samuel J. Umland, *The Man Who Fell to Earth: Novel to Film* (Arrow Books, UK: 2018).

## Camelot's Call for Cold War Adventure in Philip Caputo's Memoir, *A Rumor of War*

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In Philip Caputo's memoir, *A Rumor of War*, he asserts that it is hard for those not born in the 1940's and 1950's to understand the pride and can do spirit of his generation.<sup>1</sup> They were shaped by JFK's Age of Camelot. Like the mythic King Arthur and his noble knights of the Round Table, Kennedy (the prince of Camelot) was known for his high minded idealism. He was a man of ideas, but he was also courageous.<sup>2</sup> As a commander of PT 109, he coolly rescued his men in shark infested waters. Many of his youthful followers, who looked to him as a savior, believed that there was something regal about him. He looked like the perfect president, and the glamorous Jackie looked like a queen.

Kennedy instilled a sense of self-sacrifice in many Americans of Caputo's generation when he challenged them to "Ask not what your country can do for you, ask what you can do for your country." Kennedy also made it clear in his inaugural speech that, "We shall bear any burden, meet any hardship, support any friend, oppose any foe, to assure the survival and success of liberty." This was a time when Americans could still claim they had never lost a war, and the postwar economy was still booming.

In *A Rumor of War* Caputo tells us that he joined the Marines in 1960, partly because he got swept up in the patriotic tide of the Kennedy era, but mostly because, "I was sick of the safe, suburban existence I had known most of my life (4)." Caputo was sick of civilization and its discontents. Caputo also tells us several times in *A Rumor of War* that he hungered for "dangerous adventure and excitement (5)."

Caputo was raised in Westchester, Illinois, one of the towns west of Chicago that grew mostly because of America's postwar affluence. Caputo writes, "it was pleasant enough at first, but by time I was in my teens, I could not stand the place, the dullness of it (5)." During his sophomore year at Chicago's Loyola University Caputo wrote, "Having known nothing but security, comfort, and peace, I hungered for danger, challenges, and violence (5)."

One day when Caputo was walking through the student union at Loyola University, he found a way to escape the quiet life of desperation of *The Man in the Gray Flannel Suit* when he came across a Marine recruiting team and a steely eyed, hard as nails Marine on a poster that read "Be a Leader of Men." That day Caputo decided to go to Marine Officer Candidate School and become "Kennedy's cop to the communist robber (18)." Caputo said that he saw himself as John Wayne in *Sands of Iwo Jima* or as the Marines who hit the beach in the movie *Guadalcanal Diary*. The war games Caputo played in the woods of suburban DuPage County as a boy, the uniforms of Marine, recruiters and John Wayne's swagger was the attitude and model for many of Caputo's generation of what makes an individual a man. Ron Kovic in *Born on the Fourth of July* and Tim

O'Brien in *The Things They Carried* mention the same boyhood experience that helped send them to Vietnam.

Philip Caputo's odyssey from contented confidence to despairing doubt mirrors the course of American society during the 1960's. In a decade of dramatic change the optimistic hopes that the nation could solve all of its problems would end with chaos and pessimistic doubts. What happened?

Before Vietnam most Americans believed that they had the right to determine the destiny of other people and that they were ordained by God to be the of the world, since the when Puritan Founding Father John Winthrop announced that America would be a "City Upon a Hill" for other nations. Some scholars have called this attitude American exceptionalism. They believed that America was superior to other nations, and that the U.S. was motivated only by good and to spread its values of freedom and equality to the rest of the world. Most Americans believe that the fifties was a tranquil period when nothing much really happened, except maybe the rise of rock and roll. Historian James Loewen in *Lies My Teacher Told Me* points out that most U.S. dodge many of the serious topics or problems that face the nation (e.g., McCarthyism, race, and the nuclear arms race). Loewen examined the content of several hundred textbooks (220-228). Frances FitzGerald also examined the content of hundreds of U.S. History textbooks that are approved by state and local textbooks committees each year and found the same thing in her book *America Revised*. Blanche Wiesen Cook in *The Declassified Eisenhower* shed light on Eisenhower's many covert operations. According to Cook, "Ike's vision of a peaceful world involved a determination to pursue political warfare, psychological warfare and economic warfare everywhere and at all times (147)." During the Ike years the CIA ended pretensions about borders and respect for national sovereignty and elections of other nations. When popular nationalist leader, Dr. Mohommad Mossadegh nationalized American and British oil interests in Iran, Eisenhower had him overthrown and replaced him with the Shah of Iran and the CIA trained the brutal SAVAAK (secret police) to keep him in power. Eisenhower and John Foster Dulles toppled President Arbenz of Guatemala when he attempted a land reform program by expropriating some land that belonged to the United Fruit Company, a powerful American corporation that owned millions of acres of land in Central and South America. Eisenhower and his CIA chief, Allen Dulles planned the overthrow of Fidel Castro in what became the failed Bay of Pigs Operation. Kennedy approved the operation after Eisenhower had left office.

In Graham Greene's 1955 novel, *The Quiet American*, he attempted to expose the absence of a moral vision in American policy in Vietnam during the Eisenhower administration. Alden Pyle, Greene's protagonist, was based on Colonel Edward Lansdale, the secret agent who staged several sabotage attacks on North Vietnam's infrastructure, crops and livestock and a propaganda campaign (psych warfare) for Eisenhower. In *The Quiet American* when one of Alden Pyle's plans kills some innocent people, he remarked, "They were only war casualties .... It was a pity, but you can't always hit your target. Anyway they died in the right cause ... You could always say they died for democracy (67)." William Lederer and Eugene Burdick 's novel *The Ugly American*, was



a response to *The Quiet American*. Lederer and Burdick thought that Eisenhower's foreign policy wasn't tough enough. In short, the novel (which also takes place in a fictionalized Vietnam, "Sarkhan") argues that the U.S. was losing the fight against communism in the Third World, but they could still win (239). *The Ugly American* was a call to action that sounded a lot like Kennedy's call for greater sacrifice from Americans (e.g. pay any price, bear any burden) in the fight against America's enemies. Lederer and Burdick wrote in *The Ugly American*, "If we are not prepared to pay the human price, we better learn to live without international trade...accept mediocrity and the loom of World Communism (240)." Kennedy and his youthful counsel (all of them were born in the 20<sup>th</sup> century) was an embodiment of this call to action. Kennedy promised to "to get the country moving again." I think that unintentionally exposed an important flaw in American foreign policy. In order to protect American economic interests, or the interests of entrepreneurial classes, it has repeatedly acted contrary to its great humanitarian values and democratic principles.

Many Kennedy admirers thought that JFK understood the aspirations of the Third World countries that were emerging from colonialism and believed that he would be different from Eisenhower and the reactionary John Foster Dulles. Richard Walton in *Cold War and Counter Revolution* stated that it was apparent that despite Kennedy's image as a and intelligence, he was actually a hawkish cold warrior and counterrevolutionary whose anticommunism prevailed over his sympathy for the oppressed of the Third World (or the right of all nations to self determination). Nationalism in the Third World was okay, but it was going to have to happen on American terms (34-38).

In *The Best and The Brightest* David Halberstam examined Kennedy's image as an enlightened liberal during the 1960 campaign as not genuine. When Joseph P. Kennedy, Sr. had dinner with Henry Luce, seeking his endorsement for JFK, the discussion became heated when Luce tried to divide the issues between foreign and domestic and implied that he would not be upset by Jack Kennedy's liberalism on domestic issues. Joe Kennedy took this personally:

"No son of mine is going to be a goddamn liberal....Now Joe Luce answered, of course he's got to run left of center to get the big northern cities ....But on foreign affairs, Luce continued, if he shows any sign of weakness toward the anti-Communist cause or ....if he shows any weakness in defending the cause of the free world , we'll turn on him . We'll tear him apart (26-27)."

Kennedy administration historian, Arthur Schlesinger, Jr. in his book *A Thousand Days*, defined Kennedy as a realist disguised as a romantic (20-21). It was the Kennedy style, the Kennedy confidence that underlay the spirit of Camelot that surrounded the new administration from its beginning that excited Journalists and the public alike. In the spring of 1961 JFK created the peace corps and sent thousands of volunteers to use their skills to help people in Third World countries, but during the same month he increased the funding for counter insurgency troops (e.g. the Green Berets) to fight in Jungles and behind enemy lines. In April 1961 JFK also approved the Bay of Pigs Operation, which was a failed attempt by 1,500 CIA trained anti-Castro Cubans to overthrow Fidel Castro. This operation was actually planned by the Eisenhower administration.

CIA documents show that JFK and his brother RFK made several attempts to assassinate Castro and to destroy the Cuban economy in a secret program called Operation Mongoose.<sup>3</sup>

When JFK was assassinated he had stationed about 15,000 military advisers in Vietnam to train the South Vietnam Army (the ARVN). Many of these soldiers were disguised as “embassy personnel.” The Geneva Convention that ended the Indochina War after France was defeated by Vo Nguyen Giap at Dienbienphu only allowed South Vietnam to have 5,000 advisers, according to David Halberstam (366). Kennedy was adding more and more advisers (many of them were actually fighting) to prop up the government of the unpopular Ngo Dinh Diem. In August 1964 , after two U.S. “patrol boats” (spy boats) claimed they had been fired upon off the coast of North Vietnam by torpedo boats (an inexperienced sonar man couldn’t distinguish between torpedoes and lighting), President Johnson used this incident to get Congress to Gulf of Tonkin Resolution authorizing him send combat forces to Vietnam. Johnson said that the Gulf of Tonkin Resolution was like granny’s nightgown, it was “broad enough to cover everything.” Johnson sent the first combat troops to Vietnam after the advisers barracks at Pleiku was attacked in February 1965. By the time Johnson left office in 1969, there were over 500,000 thousand U.S. soldiers stationed in South Vietnam fighting his limited war of gradual escalation.

Caputo’s unit was among the first to go to Vietnam in March 1965 when they hit the beach at Danang. They were “gung ho” to see action and were afraid that the war was going to end before they had a chance to fight. They knew absolutely nothing about their opponents. George Herring, in *America’s Longest War* tells us that most Americans did not Vietnam had fought Chinese armies for over a hundred years. The best the Chinese could do was to force Vietnam to pay some tribute. Every time China tried to swallow up Vietnam it would get a very sore throat. Vietnam defeated Kublai Khan’s Mongols (the Mongols defeated China and Russia) using some of the same guerrilla tactics they would later use against the French and the U.S. (4-5).

Caputo wrote, “when we marched into the rice paddies on that damp March afternoon we carried along with our packs and rifles the complicit convictions that the Viet Cong would be quickly beaten and that we were doing something noble and good (xiv). Caputo and his men soon discovered that the men they scorned as “Peasant fighters” were a lethal, determined enemy and as casualty lists lengthened each week with nothing to show for the blood being spilled their early confidence was broken (xiv). “By autumn,” announced Caputo, “what had begun as an adventurous expedition had turned into an exhausting, indecisive war of attrition in which we fought for no other cause than our own survival (xiv).

General Westmoreland’s strategy of attrition was not to win terrain, there was no battle lines, like in world War Two. According to Caputo, “Our mission was simply to kill...stack em like cordwood. Victory was a high body count, defeat was a low kill ratio (xix).” American high tech weapons were able to inflict huge loses on the enemy, but it didn’t stop them. According to George Herring, the flaw in Westmoreland’s strategy of attrition was that about twice as many North Vietnamese reached draft age each year than Americans (188). General Vo Nguyen Giap

could always recover his losses with replacements. There was tremendous pressure put on field commanders to produce higher body counts and better kill ratios. To create these high body counts Caputo and his men resorted to such practices as counting dead civilians as Viet Cong. “A rule of thumb in the bush,” wrote Caputo, “was if it’s dead and Vietnamese, it’s VC (74).” Americans were sometimes ordered to slaughter livestock and to torch the huts of villagers to prevent the Viet Cong from receiving help from them. Caputo remembered his platoon found a cache of V.C. weapons that they burned. The fire got out of control and burned the thatched huts of over two hundred people (306). Of course these practices caused the villagers to hate the Americans and to aid the V.C. Many civilians got caught in the middle of the fighting between the Americans and the V.C. Civilian casualties were well over a million people and thousands were made refugees by the American “free fire zones.” Frances FitzGerald described the destructive impact that the war had on the rural villagers in *Fire in The Lake*. These were societies dominated by traditional values of land and village. The people were concerned about the spirits of their ancestors and growing enough rice to feed their families. The people were attached to the rice paddies where their ancestors were buried. They were also concerned about accommodating the mandate from heaven and when the leaders broke the mandate from heaven, the people had the right to revolt (24-25).

The war settled into a brutal stalemate that frustrated the Americans. On “search and destroy” missions they encountered mostly snipers, booby traps, and land mines that killed or maimed them. This wasn’t the “adventure” Caputo signed up for. He wanted to go out in a blaze of glory in a history making “set-piece” battle like Gettysburg, Guadalcanal, Iwo Jima, or Inchon. Often the enemy was elusive and would fight only on his terms. “Hell, we never know who’s the guerrilla and who ain’t around here,” proclaimed private Crowe one of the men in Caputo’s platoon

After losing several men to snipers and booby traps, Caputo, wanting revenge for the losses, ordered some men to go into the village and capture two Viet Cong suspects they had questioned a few weeks before and to bring them back to the base for further questioning. The two men, Le Du (a school teacher) and Le Dung (a teen), turned out to be innocent villagers. “It was my secret and savage desire to see the two men die. In my heart I hoped Allen would find some excuse for killing them, and Allen read my heart,” wrote Caputo (317). The two men never made it back to the base. One of them made a “sudden movement,” and the other snapped a branch in the face of one of the Marines. Some of the villagers complained and Caputo was court-martialed. Caputo’s superiors allowed him to avoid a murder conviction with a plea bargain and a letter of reprimand for disobeying orders. He was given an honorable discharge when his time was up. Caputo went home and became a reporter for *The Chicago Tribune*. He went back to Vietnam to cover the collapse of the Saigon government in May 1975.

By 1968 after the Tet Offensive the American people were convinced that the war was unwinnable and that the country had spent too much in blood and treasure. After so many government lies and distortions about the war and so much carnage and atrocities, the myth of “the City Upon a Hill” could no longer provide justification for the war, and the postwar confidence that Americans could accomplish anything that they set their minds to was broken.<sup>4</sup>

## Endnotes

<sup>1</sup>A good source for anybody who did not live through this period is William O'Neill, *American High: Years of Confidence, 1945-1960* (New York: Free Press, 1986), and see, Geoffrey Perrett, *A Dream of Greatness, The American People, 1945-1963* (New York: Coward, McCann and Geoghegan, 1979).

<sup>2</sup>Kennedy was a historian and a voracious reader. Many of his biographers point out that he loved tales of greatness and acts of courage. He read James Fenimore Cooper and the tales of King Arthur, see, Robert Dallek, *An Unfinished Life: John F. Kennedy, 1917-1963* (Boston: Back Bay Books, 2004), pp. 16-17. Also see, John F. Kennedy, *Profiles in Courage* (New York: Harper Perennial Classics, 2006), pp. ix-xiv.

<sup>3</sup>Herbert Parmet, *JFK: The Presidency of John F. Kennedy* (New York: Penguin Books, 1984), pp. 214-221.

<sup>4</sup>Loren Baritz, *Backfire* (New York: William Morrow and Company, 1985), pp. 280-281.

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